

**Nominal Insurer** 

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## 1. Claims And Policy Transfer

### 1.1 Purpose

This File Transfer Manual describes the process to be adopted for the transfer of selected Claims (both Open and Closed) and Policies from 1 Scheme Agent (Agent) to another when directed to do so by the Nominal Insurer (NI) or in accordance with the terms of the Deed. WorkCover (WCA) will manage the transfer of Claims and Polices for the NI. This Manual will also advise scheme agents of the preparation required for data and physical Records for those Claims and Policy files that are to be transferred.

## 1.2 Objectives

This Manual will define the responsibility of the Scheme Agent and the Nominal Insurer to ensure:

- (a) Consistent content and quality of data and Records transferred.
- (b) Minimal disruption in the delivery of Services to Workers and Employers.
- (c) Minimal disruption to the Scheme.
- (d) Maintenance of performance standards.

### 1.3 Overview Of Process

At a high level, the process of Claim and Policy transfer involves the selection of Claims and Policies from an 'Eligible Pool'. The Eligible Pool is a list of Claims and Policies, that meet a set criteria determined by the NI, that are deemed available for transfer at specific transfer dates, and includes those under the Disengagement Services. Scheme agents will be notified of selected Claims and Policies to be transferred via an Extract List. The Extract List is a summary list of Claims and Policies selected from the Eligible Pool for transfer. The list will advise Exiting Agents of the files to prepare for transfer, and Receiving / Continuing Agents a list to reconcile receipted files against.

Receiving/ Continuing Agents will be provided a Transfer File representing those Claims and Policies that are noted on the Extract List. The Transfer File will be provided in a format to allow the Receiving / Continuing Agent to upload into their IT Systems and be in a position where they can commence managing Claims and / or Policies.

### In this Document:

- (a) Disengaged Agent is the Scheme Agent from whom Claims and Policies (open and closed) are being transferred from and no longer operates as an Agent of the Nominal Insurer;
- (b) **Transfer Out Agent** is the Scheme Agent **from** whom Claims and / or Policies are transferring from;

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- (c) **Exiting Agent** refers to both Disengaged and Transfer Out Agent;
- (d) Receiving / Continuing Agent is the Scheme Agent to whom Claims and Policies are being transferred;

#### 1.4 **File Selection Criteria**

Policies – Policies will be selected from set criteria as decided by the NI. The NI will provide to WCA a list of Policies to be transferred and the respective scheme agents involved in the transfer at specific transfer dates.

Claims – Claims will be selected from set criteria as decided by the NI. The NI will provide to WCA a list of Claims that will be transferred and the respective scheme agents involved in the transfer at specific transfer dates.

#### 1.5 **General Requirements**

### 1.5.1 Nomination Of Contact

The Scheme Agent is to nominate a person who will be responsible for the File Transfer process throughout the Transfer Period. Contact details are to be provided to a WCA representative and made available to other scheme agents who are involved with the transfer out or transfer in of those particular files. The nominated person will be the primary contact for WCA and other scheme agents.

### 1.5.2 Nominal Insurer

The NI will decide the criteria, timing and allocation of Claims and Policies to be transferred. The NI will identify Claims and / or Policies to be transferred between scheme agents. WCA will manage the transfer process on behalf of the NI. WCA will provide a Batch Co-ordinator to assist scheme agents in the co-ordination of the transfer process. Files will be transferred in manageable batch sizes.

## 1.5.3 Transfer / Disengagement Plan

The scheme agent must work with the NI to develop a Transfer / Disengagement Plan to support transfer activities and ensure compliance with all requirements. The Batch Co-ordinator will provide details of selected files, consult with scheme agents and negotiate timeframes to develop the optimal plan for each batch transfer.

## 1.5.4 Transfer Reporting

Scheme agents will report the transfer status of files as part of the transfer process reporting requirements to be determined as part of the Transfer Plan. WCA will confirm the transfer of Claims and Policies using Scheme Agent data submissions post transfer in WCA's Corporate Data Repository (CDR).

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## 1.5.5 File Discrepancy

The Scheme Agent is responsible for resolving disputes with other scheme agents regarding the quality of information contained in the transferred files. The Receiving / Continuing Agent must advise the Exiting Agent of any discrepancies within 15 Business Days of receipt. Unresolved issues are to be referred to the WCA Batch Co-ordinator who will mediate a resolution.

## 1.5.6 Disengagement Period

The Disengaging Scheme Agent is to manage all impacting Policy period needs until completion of the Disengagement period, or as agreed in the Disengagement plan at which time all Policy and Claims information will be transferred to a Receiving / Continuing Agent.

At the completion of the Disengagement period all additional Exiting Agent Policy information is to be stored with WCA.

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#### 2. **Claims And Policy Data Transfer Process**

#### 2.1 **Extract Lists (Summary List)**

WCA will produce Extract Lists of Claims / Policies to be transferred. The Extract Lists will contain file data from the CDR. WCA will provide the Extract List to both the Exiting Agent and the Receiving / Continuing Agent for each batch. WCA will provide lists in batch form to match the transfer program. Separate Extract Lists will be provided for Claims and Policies.

#### 2.2 **Policy Mailing List**

On review of the Extract List the Exiting Agent is to provide WCA additional details as an addendum to the Extract List. This additional information is described in the Portability Data Requirements chapter of the General Manual.

#### 2.3 **Transfer File (Upload File)**

WCA will produce a file of Claims and Policies to be transferred. The Transfer File will contain data from the CDR. WCA will provide the Transfer File to the Receiving / Continuing Agent for upload into their Claim and Policy system. The Receiving / Continuing Agent must confirm successful upload of the Transfer File to the Batch Co-ordinator. Specifications for Transfer File are described in Portability Data Requirements chapter of the General Manual.

#### 2.4 **Submission Data**

The Exiting Agent will be required to report all relevant data to WCA, via normal monthly submission processing, which reflects all activity up to the transfer date for those Claims and Policies that are being transferred out from the Scheme Agent. Particular emphasis should be the Exiting Agent ensuring that no errors apply to the Claim or Policy data set reported for the final Reporting Period prior to Transfer File production. Errors in submission data will mean that a Claim is not fit for transfer and will result in the entire Claim / Policy submission being rejected by WCA. The Exiting Agent will be responsible for taking the necessary action to immediately correct the data problem and resubmit the submission file.

The Exiting Agent will be responsible for confirming to the Batch Co-ordinator that all data associated with any Claim / Policy being transferred to a Receiving / Continuing Agent is up to date as at the Transfer File production date as reported to WCA via data submission. Only once this process is complete, and error free, will WCA create Transfer Files for Receiving / Continuing Agents.

#### 2.5 **Process Integrity**

The Exiting Agent must implement system safeguards that prevent reopening of transferred Claims and / or processing of Claim payments, and renewal of transferred Policies after the transfer date.

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## 2.6 Transfer Status

The Exiting Agent must implement changes to note the transfer status of Claims and Policies. Claims and Policies with a transferred status are not to be included in data submissions to WCA after the transfer date.

The Receiving / Continuing Agent must implement changes to note the transfer status of Claims and Policies. Claims and Policies with a transferred status are to be included in data submissions to WCA after the transfer date.

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## 3. Claim And Policy Records

## 3.1 File Preparation (General)

### 3.1.1 File Review

The Exiting Agent is to review all files (paper and image) prior to transfer. The review, at a minimum, is to cover:

- (a) Location of file.
- (b) Creation of file stakeholder contact listing.
- (c) Assessment and recording of urgent action requirements.
- (d) Identification of items to complete File Status Report.
- (e) Identification of items to be flagged as key documents.
- (f) Identification and recording of un-actioned correspondence.
- (g) Confirmation of injured Workers 'date of birth' on Claims with system Records.

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

File Status Report template attached.

### 3.1.2 Imaged Files

The transfer of imaged files will be the subject of discussion and negotiation between the Exiting Agent and Receiving / Continuing Agents at the transfer planning stage, with the process being tailored to meet the best solution for each party. As a general rule, imaged files are to be converted to pdf format (read only) and loaded to a suitable data storage device). Other electronic files attached to the Claim may be provided in their native document format provided that they are readable using ubiquitous office software (for example Excel, PowerPoint, Word). Imaged files are to be recorded in separate folders by Claim / Policy number order with sub-folders by type, e.g. medical / legal and then by date unless otherwise agreed between Exiting Agent and Receiving / Continuing Agents.

Meta-data is to be supplied for all imaged files, containing at least the following information:

- (a) Claim Number / Policy Number.
- (b) Claimant name / Employer Name.
- (c) Unique document reference number.

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- (d) Document type.
- (e) Original date scanned.
- (f) Document status.
- (g) File format (pdf, .xls etc.).

A reconciliation summary is to be provided with all imaged files delivered. Format to be agreed between scheme agents.

### 3.1.3 Case Notes - Claims

Online / electronic file or case notes are to be converted to text files and loaded to CD. Case notes for each file are to be recorded in descending date order. Case note files are to be recorded in Claim number order. Case notes include all file / diary / contact notes maintained in hard copy, or online / electronically, within Exiting Agent system/s. Case notes must be provided to the Receiving / Continuing Agent. Refer to the template in this Manual for the files standards related to electronic case notes.

## 3.1.4 Case Notes – Underwriting / Credit Control

Online / electronic file or case notes are to be converted to text files and loaded to CD. Case notes for each file are to be recorded in descending date order. Case note files are to be recorded in Policy number order. Case notes include all Collection Agent notes, third party notes and Policy commentary notes maintained in hard copy, or online / electronically, within Exiting Agent system/s. Case notes must be provided to the Receiving / Continuing Agent. Refer to the template in this Manual for the files standards related to electronic case notes.

### 3.1.5 File Stakeholder Contact Listing

Each file stakeholder, for the previous 12 Months, is to be listed on the file stakeholder contact listing. The file stakeholder contact listing is to be used by the Exiting Agent to determine stakeholders to be advised of the transfer.

The file stakeholder contact listing is to be included with the transfer file. Template attached. Stakeholder contact listings may be delivered electronically on a suitable data storage device.

## 3.1.6 Missing Files – Creation Of Duplicate

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

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## 3.1.7 Un-Actioned Correspondence

All un-actioned correspondence is to be tagged and placed within the file immediately after the File Status Report template, for paper files. For un-actioned correspondence on imaged files, the Exiting Agent is to implement a suitable method of identifying un-actioned correspondence. Format to be agreed between scheme agents. For example, this could be delivered either by putting a copy of unactioned correspondence into a separate folder in the electronic file for the Claim, or by specifying to the Receiving / Continuing Agent how un-actioned correspondence is to be identified in the meta-data.

## 3.1.8 File Condition – Paper-Based Files

Paper-based files must be in serviceable condition prior to transfer. Torn, tattered or worn file folders and 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.

## 3.1.9 Contents Of Boxes / Cartons

Files are to be packed spine down, facing the same direction and in the same order as the Extract List provided by WCA. 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. Box / cartons are to contain a maximum weight of 16 kilograms. Box / carton Label template attached.

## 3.1.10 Inventory Of Records

An Inventory of Records is to be completed for each box / carton or may be supplied as an electronic Inventory for the entire batch. All files transferred are to be accompanied by a completed Inventory of Records, which is to be faxed or emailed to the Receiving / Continuing Agent contact person on the day of transfer. The Exiting Agent must retain a copy of the inventory of Records. Inventory of Records template attached.

## 3.1.11 Claim And Policy File Status Report

All files transferred are to be accompanied by a completed File Status Report (templates attached).

- Claim File Status Reports (paper files) are to be placed at the front of the file. (a)
- Policy File Status Reports (paper files) are to be attached to the Wage Estimate Declaration or new business proposal and placed in a suitably marked folder.

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<sup>&</sup>lt;sup>1</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.

Claim and Policy File Status Reports may be supplied as electronic documents on a suitable data storage device where files are being transferred as imaged files.

#### 3.2 **Policy File Preparation**

## 3.2.1 Policy Key Documents

The Exiting Agent is to provide the Receiving / Continuing Agent with key Documents from the Policy file.

Key Documents include:

- Most recent Wages Declaration form, or
- New business proposal (new Policies only 1 year old Policy).

For Disengaging Agents, the Policy file must include all Employer correspondence received for the previous 5 years.

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

- Print all key Documents and enclose in file with File Status Report, or
- (b) Create a separate pdf file containing the key Documents only.

Where there are no key Documents available (e.g. where new business processed over the phone, or the Policy has been auto-renewed) the Exiting Agent should annotate the Policy Record indicating that no key Documents exist.

## 3.2.2 Wage Audits

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

## 3.2.3 Wages History

The Exiting Agent is to update the File Status Report with details of actual Wage amounts for the previous year (W1), year prior to previous year (W2) and further year (W3). Where actual Wages are not available, the Exiting Agent is to update the File Status Report with details of Wage estimates.

### 3.2.4 Collection Activity

The Exiting Agent is to provide the Receiving / Continuing Agent with an update on collection activity status (Legal stage, SLC, judgement. Wind-up etc) for all Policies transferred.

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## 3.3 Claim File Preparation (Open Claims)

## 3.3.1 Claim File Key Documents

### Claims (Paper File)

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

- (a) Claim form.
- (b) PIAWE calculation and information used to determine PIAWE.
- (c) Benefit payment details.
- (d) Most recent WorkCover Certificate of Capacity, including Part C Worker Declaration.
- (e) Most recent Work Capacity Decision Documents where these exist:
  - (i) Work Capacity Decision Notice & supporting evidence;
  - (ii) Application for internal review;
  - (iii) Recent internal review decision;
  - (iv) Recent application for Merit Review;
  - (v) Reply to Merit Review;
  - (vi) Merit Review decision; and
  - (vii) WIRO decision.
- (f) Most recent rehabilitation report.
- (g) Most recent Injury Management Plan.
- (h) Care Needs Assessment.
- (i) Community Living plan.
- (j) Medical Discharge summary (if applicable).
- (k) Legal action documentation (if any) including any correspondence indicating an intention to commence legal action.
- (I) Un-actioned correspondence.
- (m) Current dispute notice or litigation matters.
- (n) Advice of any current customer complaints and resolution status.

## Claims (Electronic File)

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

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- (a) Print all key Documents and enclose in file with File Status Report and file Stakeholder Contact Listing;
- (b) Create a separate pdf file (see 'Data format imaged files' above) containing the key Documents only and attach at the front of the full file; or
- (c) Create an index at the commencement of the pdf file linking to key Documents within the file.

## 3.3.2 Urgent Action (Claim Files)

Urgent action includes, but is not limited to:

- New Claims approaching end of provisional liability period;
- (b) Formal / informal conferences, court or Workers Compensation Commission (WCC) hearings due within 3 weeks;
- Legal advices that require action within 3 Months; (c)
- (d) WCC action has commenced;
- (e) Request for urgent services e.g. surgery, home modifications, vehicle modifications, equipment review, e.g. care, prosthetic, wheelchair;
- Change in weekly Benefit entitlements due within 3 weeks (e.g. end of first (f) entitlement period; end of second entitlement period – e.g. S36 to S37 or S38 to \$39, \$40, etc.
- Benefits paid in advance of less than 4 weeks;
- (h) PIAWE calculations and information used to determine PIAWE;
- WorkCover Certificate of Capacity expired; (i)
- Adverse Work Capacity Decision effective from (date); (j)
- (k) Application to Merit Review insurer reply required;
- Merit Review decision insurer required to give effect to findings and recommendations;
- (m) WIRO decision insurer required to implement recommendations;
- (n) Claim for permanent impairment.

The Exiting Agent is to update the File Status Report and Inventory of Records noting urgent action required with details of the type of action. Where Claims are being transferred as imaged files, a separate report of Claims requiring urgent action is to be provided as an excel file.

#### 3.4 **Closed Claims**

Closed Claims nominated for transfer will be transferred via the File Transfer process. Exiting Agents will be required to note their system Record with details of the Receiving / Continuing Agent for that Claim. Physical closed files will be transferred to the Receiving / Continuing Agent where a Policy was transferred to.

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Where the Exiting Agent uses imaged Claims Management, the transfer of imaged files for Closed Claims in bulk may be negotiated (for additional fees) by agreement between the scheme agents and WCA.

Orphan Closed Claims with no Policy to go to WCA until we assign them to a Scheme Agent. WCA will store closed Orphan Claims until assigned out to scheme agents.

Any other Claims where a Policy has not been transferred from the Disengaging Agent, go to WCA.

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## 4. Advice Of Transfer

### 4.1 Claims

## 4.1.1 Open Claims

The NI will advise Employers and injured Workers of the transfer of a Claim. Scheme agents may not inform injured Workers or Employers or other stakeholders that their Claim has been selected for transfer until WCA confirms that the Notification mailing has been sent.

The Exiting Agent must advise other Claim file stakeholders of the transfer of a Claim using the NI Approved Notification templates.

The Exiting Agent must also advise the WCC of any current matters being transferred. WCA will advise a central contact at the WCC to be notified. Notification may be provided via email with a list of matters.

The Exiting Agent must also advise the Merit Review Service and / or the WorkCover Independent Review Office (WIRO) of any current matters being transferred. WCA will advise a central contact at these services to be notified. Notification may be provided via email with a list of matters.

Where the transferring Claim has active legal activity, the Receiving / Continuing Agent is to ensure the continuity of services provided by the Exiting legal Third Party Service Provider until the finalisation of that aspect of the Claim.

Advice must be issued to ensure a minimum of 4 weeks' notice of transfer. Advice may be provided electronically to stakeholders on the Scheme Agent's panel.

## 4.1.2 Closed Claims (Exiting Agents)

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 Agent (including Disengaged Agent during Disengagement period) should note from system Records that the Closed Claim has been transferred, and direct the contact to the Receiving / Continuing Agent where the Policy was transferred to.

Post the Disengagement period, all contact regards re-opening of Closed Claims will be directed to WCA, who should note from system Records where the Closed Claim has been transferred, and direct the contact to the Receiving / Continuing Agent.

For closed Orphan Claims where no Policy is attached or the NI has not transferred the Policy, WCA will direct them to a dedicated Receiving / Continuing Agent.

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## 4.2 Policies

The Nominal Insurer will advise Policyholders of the transfer of a Policy and of a Disengaging Agent where Policies are no longer able to be renewed.

Advice must be issued to ensure a minimum of 4 to 6 weeks' notice of transfer prior to Policy renewal date.

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#### **Policy Transfer Process** 5.

#### 5.1 **Identify Policies**

The NI will determine Policies to be transferred at specific transfer dates. WCA will provide Extract Lists to both Exiting Agent and Receiving / Continuing Agents.

#### 5.2 **Transfer Plan**

The Batch Co-ordinator and scheme agents negotiate the transfer plan and timetable.

#### 5.3 **Policy Status**

The Exiting Agent must review all transferring Policy files and complete the File Status Report.

#### 5.4 **Policyholder Communication**

The NI will advise all Policyholders of the pending transfer using mailing details provided by the Exiting Agent. Exiting Agents may not inform Employers or Brokers that their Policy has been selected for transfer until WCA confirms that the Notification mailing has been sent.

#### 5.5 **Transfer File**

WorkCover will produce a Policy Transfer File and provide it to the Receiving / Continuing Agent at specific transfer dates.

#### 5.6 **Renewal Notice**

Receiving / Continuing Agents will issue a renewal notice by using Policy information uploaded into their system from the Transfer File (provided by WCA), information obtained by the Employer and details provided from Transferring Out agent on Policy File Status Report,

Policyholders from the Exiting Agent are required to renew and place their business with a Receiving / Continuing Agent (including Small Employers).

Policyholders from the Exiting Agent are required to complete and return the renewal notice to the Receiving / Continuing Agent.

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#### 5.7 **Wage Declarations**

Policyholders that are placing their business with a Receiving / Continuing Agent are required to complete and return their Wages Declaration Forms, for the previous insurance period, with their previous Agent (Exiting Agent) to finalise previous Policy Terms.

On receipt of the Wages Declaration Form, for the previous insurance period, the Exiting Agent will forward a copy or details of the completed Wages Declaration form to the Receiving / Continuing Agent to commence current Policy Term, and / or PE Form or information as agreed between Agents and WCA.

Policyholders from a Disengaged Agent are required to complete and return their Wages Declaration Forms, for the previous insurance period, to the Receiving / Continuing Agent to finalise previous Policy Terms.

#### 5.8 **Upload Data**

The Receiving / Continuing Agent uploads Transfer File (data) and confirms upload to the Batch Co-ordinator.

#### 5.9 **Process Integrity (Policy Renewal)**

The Exiting Agent implements system changes to ensure that renewal notices are not issued or transferred Policies are not renewed at specific transfer dates. No new payments are to be processed for transferred Policies, after the transfer date, except payments for completion of a previous year Premium.

## 5.10 Certificates Relating To Cost Of Claims (Premium Impacting Claims Only)

The Exiting Agent is to complete and send to the Receiving / Continuing Agent of the Policy, details of Claims costs for the latest and prior 3 Policy terms. This information is to be provided after the renewal date for each batch of Policies. Format and timeframe are to be agreed between Agents and WCA.

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## 6. Policy File Transfer

## 6.1 Preparation

The Exiting Agent may either create a paper file for each Policy being transferred, or supply Documents electronically where the Exiting Agent uses an imaged system.

For paper files the Exiting Agent encloses the completed File Status Reports and key Documents. The Exiting Agent places file/s in the box / carton, completes an Inventory of Records and Box Label, and confirms file/s as ready for transfer via e-mail to the Batch Coordinator.

## **6.2** Transport Of Policy Files

The Exiting Agent arranges transport of files and confirms details of transport services with the Receiving / Continuing Agent and the Batch Co-ordinator via e-mail. The Exiting Agent releases files to the transport service provider who delivers files to the Receiving / Continuing Agent.

The Receiving / Continuing Agent verifies receipt and confirms via e-mail with Exiting Agent and the Batch Co-ordinator.

Files must be transported from Exiting Agent to Receiving / Continuing Agent within less than 24 hours of the transfer date.

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#### **Claim Transfer Process** 7.

#### 7.1 **Identify Claims**

The NI will determine Claims to be transferred at specific transfer dates. WCA will provide Extract Lists to both the Exiting Agent and Receiving / Continuing Agents.

Closed Claims will also be transferred and managed by the Receiving / Continuing Agent where the Policy has been transferred to.

#### **Transfer Plan** 7.2

The Batch Co-ordinator and scheme agents are to negotiate transfer plan and timetable.

#### 7.3 **Claim Status**

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

#### **Stakeholder Communication** 7.4

The NI will advise all affected Employers and injured Workers of their file transfer using the NI Approved templates. The Exiting Agent is to advise all other file stakeholders of the file transfer (once WCA confirms that the Notification mailing has been sent).

#### 7.5 **Benefit Payments In Advance**

The Exiting Agent is to review the duration of the WorkCover Certificates of Capacity for Claims with payment of weekly Benefits and review the duration of payments under section 36, section 37, section 38, section 39 and section 40 of the Workers Compensation Act 1987.

The Exiting Agent is to make advance payments prior to transfer up to the end date of the WorkCover Certificates of Capacity but not exceeding a maximum payment period of 4 weeks for all Claims receiving weekly Benefits. This effectively constitutes 2 weeks in arrears and 2 weeks in advance of transfer date.

The Exiting Agent is to update the File 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.

#### **PAYG Taxation Summary** 7.6

The Exiting Agent must issue a PAYG Summary for the period up to transfer date. PAYG Summaries may be sent after the end of the financial year end.

The Receiving / Continuing Agent are to issue a PAYG Summary for Benefits paid after the transfer date.

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#### 7.7 **Payment Of Accounts And Invoices**

The Exiting 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 File Status Report any accounts and invoices approved but unpaid that will be paid by the Receiving / Continuing Agent.

#### 7.8 **Transfer File**

WCA will produce a Claim Transfer File and provide it to the Receiving / Continuing Agent at specific transfer dates.

#### 7.9 **Upload Data**

The Receiving / Continuing Agent uploads Transfer File data and confirms successful upload to Batch Co-ordinator.

## 7.10 Process Integrity (Claim Payments)

The Exiting Agent makes a system status change and notes Claim transferred. This status change should prevent the reopening of the Claim, processing payments and or inclusion in weekly submission after the transfer date.

## 7.11 New And Re-Opened Claims

New and re-opened Claims lodged after transfer date will be managed by the Receiving / Continuing Agent where the Policy has been transferred.

Orphan re-opened Claims will be assigned to an Agent by WCA.

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## 8. Claim File Transfer

## 8.1 File Preparation

The Exiting Agent prepares and collates all related files and documentation. The Exiting Agent prepares files to comply with 'File Condition' requirements. The Exiting Agent encloses the completed File Status Report for each file, places files in box / cartons, completes Inventory of Records and Box / Carton Label, or prepares electronic delivery of files and confirms files as 'ready for transfer' to the Batch Co-ordinator.

## 8.2 Transport Of Claim Files

The Exiting Agent arranges transport of files, confirms details of transport services with the Receiving / Continuing Agent and the Batch Co-ordinator via e-mail and releases files to transport service provider.

The transport service provider delivers the files to the Receiving / Continuing Agent. The Receiving / Continuing Agent verifies receipt and confirms via e-mail with the Exiting Agent and the Batch Co-ordinator.

Files will be transported from Exiting Agent to Receiving / Continuing Agent within less than 24 hours of transfer date.

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#### 9. File Receipt Review

The Receiving / Continuing Agent must conduct a file review within 15 Business Days of receipt. The review consists of:

#### **Policy Files** 9.1

- (a) File Status Report received.
- (b) Wage Estimate Declaration or New Business Proposal received.
- Mailing address (as listed on the File Status Report) is entered into the system.

#### 9.2 **Claim Files**

- (a) File Status Report received.
- (b) Stakeholder contact listing received.
- (c) Establish payment schedule.
- (d) Note any urgent action requirements and update system/diarise as required.
- (e) 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 / Continuing Agent must advise the Exiting Agent of any file discrepancies within 15 Business Days following transfer.

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## 10. Post Transfer Actions (Claims & Policies)

## 10.1 Access To Stored / Archived Files -

The Receiving / Continuing Agent is to attempt to gain all information from the Transfer File prior to requesting access to archives. The Exiting Agent is to arrange recall of archived documentation / files and transport them at the request of Receiving / Continuing Agent. Archive files are to be transferred in accordance with the 'Transfer of Business' requirements. No costs / charges are to be levied by the Exiting Agent on the requesting Agent for access to transferred archived files.

The Disengaged Agent is to transfer all Closed Claims to the Agent where the Policy has been transferred or as directed by WorkCover

### 10.2 Mail Redirection

All mail / correspondence received after the transfer date by the Exiting Agent is to be identified for redirection to the Receiving / Continuing Agent and forwarded to Receiving / Continuing Agent within 5 Business Days of receipt.

Mail redirection activities are to continue for a period of 12 Months or duration of the Disengagement period after date of transfer, unless otherwise advised by the NI. Imaged Documents may be redirected via fax or email originals, which have already been batched, are not required to be retrieved or redirected.

Accounts / invoices and cheques / payments must be faxed or emailed on the day of identification.

## **10.3** Payment Credits

### **Policies**

Premium receipts – the Exiting Agent should confirm that there is no outstanding debt by the Policy holder and if there is no debt the funds should be transferred to the Receiving / Continuing Agent within 5 business days of receipt. Where there is an existing debt with the Scheme Agent they should contact the Policy holder to confirm what the payment is for, the existing debt or the new Policy. The Policy holder should be informed of the consequences of late payment of the new Policy, such as losing the right to pay by instalments.

Alternatively, where contact with the Policy holder is not possible, payments received by the Exiting Agent are to credit old debts first, including legal costs, and then transferred to Receiving / Continuing Agent

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### **Claims**

The Exiting Agent is responsible for cancelling EFT direct credits made to claimants and / or service providers. The Receiving / Continuing Agent is responsible for implementing a new payment arrangement with the claimant, and as per Disengagement Plan for a Disengaged Agent.

### 10.4 EFT Direct Debits

The Exiting Agent is responsible for cancelling all EFT direct debit arrangements for renewal Premiums effective post transfer. The Receiving / Continuing Agent is responsible for contacting the Employer and arranging for a new EFT direct debit arrangement, and as per Disengagement plan for a Disengaged Agent.

## 10.5 Cancelled Cheques

Where Claims or Policies are transferred to another Scheme Agent, the following guidelines are to be adopted for unpresented cheque/s in respect of the Claim or Policy originating prior to transfer:

- (a) The Exiting Scheme Agent continues to be responsible for managing unpresented cheques relating to transferred Claims and Policies until the cheques are either presented or a stop-payment advice is issued to the bank.
- (b) The Receiving / Continuing Agent may use a cancelled cheque notification form to advise the Exiting Scheme Agent of the need for cancellation and / or reissue of the cheque.
- Replacement payment of equal value if the party that the cheque was issued to advises that the cheque was lost, stolen or destroyed, the cheque is to be stopped by the Exiting Scheme Agent, who then issues a replacement payment from their WCIF Payments Account. As the payments in respect of the Claim do not change, the Receiving / Continuing Scheme Agent is not required to undertake any actions.
- Replacement payment of higher value where the initial payment was less than it should have been (e.g. the Worker was not paid their full entitlement), the Exiting Scheme Agent must encourage the payee to bank the cheque and advise the Receiving / Continuing Scheme Agent that an additional payment is required. The Receiving / Continuing Scheme Agent, after appropriate checking and consultation with the payee, must make the top-up payment from their WCIF Payments Account and record it in their Claims or Policy system.
- Replacement payment of lesser value where the amount paid was higher than it should have been (e.g. there was an Overpayment) and the cheque is

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unpresented, the Exiting Scheme Agent must stop the cheque, issue a cheque to the original payee for the correct amount, and forward a separate cheque to the Receiving / Continuing Scheme Agent for the difference between the original amount and the replacement amount. The Receiving / Continuing Scheme Agent must treat this cheque as a recovery and record the receipt accordingly in their Claims or Policy system.

(f) Stale cheque – where the cheque is stale, the Exiting Scheme Agent must stop the cheque and issue a replacement cheque to the Receiving / Continuing Scheme Agent, who then records the receipt in their Claims or Policy system as a reversal of the original payment.

These practices ensure that the Exiting Scheme Agent is not required to amend Claims or Policy information after transfer and all changes to the financial information are performed by the Receiving / Continuing Scheme Agent.

At the conclusion of disengagement all unpresented cheques should be cancelled and the Records relating to amounts in other income (Banking Services Manual) provided to the Nominal Insurer or as agreed in the Disengagement Plan for a Disengaged Agent.

## 10.6 Duplicate Payments And Overpayments

The Receiving / Continuing Agent is responsible for recovery / obtaining reimbursement where a duplicated payment or Overpayment is detected after transfer. Agents are to consult with each other on the transfer of copies of documentation to evidence duplication or Overpayment.

Duplicated payments or Overpayments are to be recouped in a timely and fair manner, in accordance with NI guidelines.

## 10.7 Wage Declarations

Employers whose Policy is transferred from an Exiting Agent should deal with the Exiting Agent to finalise previous Policy Term, and deal with the Receiving / Continuing Agent after transfer to commence current Policy Term.

The Exiting Agent is to forward a Wage Declaration Form to all their Policy holders as business as usual, and follow-up receipt of an outstanding Wage Declaration Form.

All completed Wage Declaration Forms are to be returned to the Exiting Agent to finalise previous Policy Term.

The Exiting Agent will forward a copy or details of the completed Wages Declaration form to the Receiving / Continuing Agent to commence current Policy Term.

At expiration of Policy renewal follow-up periods, the Exiting Agent is to advise the Receiving / Continuing Agent of non-receipt of the Wages Declaration form. The Exiting Agent is to follow up receipt or non-receipt of Wage Declaration form as per NI guidelines

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and normal practices and procedures, or as agreed with the Disengagement Plan for a Disengaged Agent.

After the Disengagement Period has ceased and Wages Declarations remain outstanding the responsibility of follow-up or non-receipt of Wages Declaration as agreed with the Disengagement Plans.

## 10.8 Wage Estimate

The Receiving / Continuing Agent is to forward a Wage Estimate Form with the Policy renewal. The Receiving / Continuing Agent is to follow up receipt or non-receipt of the Wage Estimate Form from the Employer as per NI guidelines.

## 10.9 Tax File Number Declaration

Where the Exiting Agent is paying weekly compensation direct to the claimant, a blank Tax File Number Declaration Form will be sent with the advice of transfer. The Receiving / Continuing Agent is to follow up receipt of the Tax File Number Declaration Form with the claimant as per normal practices. Completed Tax File Number Declaration Forms cannot be provided by the Exiting Agent due to Privacy Act restrictions. The Receiving / Continuing Agent is to obtain a new Tax File Number Declaration Form from the injured Worker.

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#### **Closed Claims – Reopened (Transfer Out Agent)** 11.

## 11.1 Purpose

This chapter outlines the business requirements for the request, preparation and provision of files relating to transferred Closed Claims that need to be re-opened post the date of transfer.

## 11.2 Request For Closed Claim File

The Receiving / Continuing Agent is to lodge a request direct with the Transfer Out Agent for the preparation and provision of the file of the Closed Claim to be re-opened.

The Receiving / Continuing Agent request is to include all relevant details to allow the Claim to be correctly identified by the Transfer Out Agent. The request is to be communicated in a format to be agreed between the Receiving / Continuing Agent and the Transfer Out Agent.

## 11.3 Acknowledgement Of Receipt Of Request

The Transfer Out Agent is to acknowledge to the Receiving / Continuing Agent receipt of the request within 24 business hours, confirm commencement of file retrieval, and provide an estimated delivery time.

### 11.4 Retrieval Of File

The Transfer Out Agent is responsible for the preparation and retrieval of the file upon receipt of the request from the Receiving / Continuing Agent. This includes the Agent's normal practice for identification of the storage location of files and Claim Documentation, briefing archive storage provider of the requirements and retrieving all related files and Documentation.

## 11.5 Preparation Of File

The Transfer Out Agent is responsible for the preparation of the files as per the file preparation requirements described in this Manual. It is not necessary to complete a Claim File Status Report or Stakeholder Listings for Closed Files

## 11.6 Transfer Of Physical Closed Claim File

The Transfer Out Agent is to arrange transport for the files and confirm details of transport arrangements with the Receiving / Continuing Agent. The Transfer Out Agent releases files for delivery to the Receiving / Continuing Agent. The Receiving / Continuing Agent verifies receipt of requested files and provides confirmation of receipt to the Transfer Out Agent.

Transfer of the files is required to occur within 5 Business Days of the acknowledgement of the receipt of the request by the Transfer Out Agent.

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### 11.7 Retrieval Difficulties

Where the Transfer Out Agent experiences difficulties with the retrieval and preparation of a file, this must be communicated to the Receiving / Continuing Agent within 3 Business Days of the acknowledgement of the receipt of the request. The Transfer Out Agent is required to provide an indication of the estimated time required for file transfer to the Receiving / Continuing Agent.

## 11.8 Continuation Of Claim Management

The Receiving / Continuing Agent and Transfer Out 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. The alternative may include the production of a duplicate file with a completed status report on the current known position.

## 11.9 Urgent Requests For Files

Urgent access to Claims files may be required for the Receiving / Continuing Agent to appropriately attend to injured Workers in emergency circumstances (e.g. surgery). In such emergency circumstances, the Receiving / Continuing Agent may request the Transfer Out Agent to retrieve, prepare and deliver the relevant Claim file within 2 Business Days of receipt of request.

## 11.10 Contact By Injured Workers

In the instance where an injured Worker initially contacts the Transfer Out Agent about a request relating to a Closed Claim that has been transferred, the Transfer Out Agent should advise the injured Worker of the details of the Receiving / Continuing Agent.

## 11.11 Disengaged Agents

The above process applies to a Disengaged Agent during the Disengaged Period.

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## 12. Transfer Of Business Requirements – Checklist

## 12.1 Policy

Requirement	Ref	Description/Actions	Responsibility
File Selection Criteria	1.4	NI will select Policies from set criteria and provide a list of Policies to be transferred.	Nominal Insurer
Extract Lists	2.1	WCA will produce an extract list of Policies to be transferred and provide to both Exiting and Receiving / Continuing Agents.	WorkCover
Transfer File	2.3	WCA will produce a file of Policies to be transferred, and provide file to the Receiving / Continuing Agent for System upload.	WorkCover
		a) Receiving / Continuing Agent must confirm successful upload of transfer file to Batch Co-ordinator.	Receiving / Continuing Agent
Submission Data	2.4	Agent required to update file details and ensure submission data for Policies being transferred is accurate prior to WCA extracting transfer files.	Exiting Agent
Process Integrity	2.5	Agent must implement system safeguards that prevent reopening of transferred Policies	Exiting Agent
Policy File Status Report	3.1.11	Policy File Status Reports (paper files) are to be attached to Wage Estimate Declaration or New Business Proposal.	Exiting Agent
Policy Key Documents	3.2.1	Agent to provide Receiving / Continuing Agent with Key Documents from paper file and where Records are held electronically a copy in usable form by other Agent.	Exiting Agent
Wage Audits	3.2.2	File Status Report to be updated with latest Wage Audit activity.	Exiting Agent

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Requirement	Ref	Description/Actions	Responsibility
Wages History	3.2.3	File Status report to include details of actual Wages amounts for current and previous years, or estimates if not available.	Exiting Agent
Advice of Transfer (Policy)	4.2	NI to use Templates for communication on Policy transfer (providing a minimum 4 to 6 weeks' notice).	Nominal Insurer
Identify Policies	5.1	NI will determine Policies to be transferred and provide Extract lists to WCA. WCA will provide lists to Exiting, and Receiving / Continuing Agents.	Nominal Insurer / WorkCover
Transfer Plan	5.2	The Batch Co-ordinator and Agents negotiate transfer plan and timetable.	WorkCover / Scheme Agents
Policy Status	5.3	All transferring Policies to be reviewed and complete the File Status Report.	Exiting Agent
Policyholder Communication	5.4	NI to advise Policyholders of pending transfer.	Nominal Insurer
Transfer File	5.5	WCA produces a Policy transfer file and provides to Receiving / Continuing Agent.	WorkCover
Renewal Notice	5.6	Agent issues renewal notice.	Receiving / Continuing Agent
Upload Data	5.8	Agent uploads transfer file data and confirms completion of upload.	Receiving / Continuing Agent
Process Integrity (Policy Renewal)	5.9	Agent implements system changes to ensure renewal notices are not issued, Policies not renewed, and payments not processed after Transfer date.	Exiting Agent
File Receipt Review - Policy	9.1	Receiving / Continuing Agent must conduct a file review within 15 Business Days of receipt. The review consists of:	Receiving / Continuing Agent
		File Status Report received.	
		Wages Estimate declaration or new business proposal received.	
		Mailing address (as listed on File Status Report) is entered into the system.	

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Requirement	Ref	Description/Actions	Responsibility
Payment Debits	10.4	Exiting Agent to arrange cancellation of all debit arrangements for Policies being transferred.	Exiting Agent
	10.4	Receiving / Continuing Agent is responsible for contacting Employer and arranging for a new EFT direct credit and debit arrangements for Policy periods.	Receiving / Continuing Agent
Wage Declarations	10.7	Exiting Agent is to forward and collect Wage Declaration form to finalise previous Policy term.	Exiting Agent
		Exiting Agent to forward copy or details of completed Wage Declaration form to the Receiving / Continuing Agent (Past 3 years).	Exiting Agent
		Receiving / Continuing Agent to follow-up non-receipt of Wages Declaration after Disengagement Period expires.	Receiving / Continuing Agent
Wage Estimates	10.8	(a) Receiving / Continuing Agent to forward a Wage Estimation Form with Policy renewal.	Receiving / Continuing Agent
		(b) Receiving / Continuing Agent to follow-up receipt of Wages estimates from Employer.	Receiving / Continuing Agent
		(c) Receiving / Continuing Agent to action non-receipt of Wages estimates form per NI guidelines.	Receiving / Continuing Agent

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## 12.2 Claims

Requirements	Ref	Description/Actions	Responsibility
File selection criteria	1.4	NI will select Claims from set criteria and provide WCA a list of Claims to be transferred.	Nominal Insurer
Extract lists	2.1	WCA will produce an extract list of Claims to be transferred and provide to both Exiting and Receiving / Continuing Agents.	WorkCover
Transfer file	2.3	WCA will produce a file of Claims to be transferred, and provide list to the Receiving / Continuing Agent for System upload.  a) Receiving / Continuing Agent must confirm successful upload of transfer file to NI Rep.	WorkCover Receiving / Continuing Agent
Submission data	2.4	Agent required to update file details and ensure submission data for Claims being transferred is accurate prior to WCA extracting transfer files.	Exiting Agent
Process Integrity	2.5	Agent must implement system safeguards that prevent processing of Claims payments after transfer date.	Exiting Agent
Claim File Status Report	3.1.11	Claim File Status Reports (paper files) are to be placed at the front of the file.	Exiting Agent
Claim File Key Documents	3.3.1	Agent to flag key documents (on Paper files and Electronic File).	Exiting Agent
Urgent action (Claim Files)	3.3.2	File Status Report is to be updated noting any urgent actions required and type of action.	Exiting Agent
Advice of Transfer (Claim)	4.1.1	NI to advise Employers and injured Workers of the transfer of a Claim (minimum 4 weeks' notice).	Nominal Insurer
		Exiting Agent notifies other stakeholders of the transfer using Nominal Insurer- Approved templates (minimum 4 weeks' notice).	Exiting Agent

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Requirements	Ref	Description/Actions	Responsibility
Claim Transfer Process – Identify Claims	7.1	NI will determine Claims to be transferred and provide extract list to WCA. WCA to provide lists to Agents.	Nominal Insurer / WorkCover
Transfer Plan	7.2	Batch Co-ordinator and scheme agents to negotiate transfer plan and timetable.	WorkCover / Scheme Agents
Claim Status	7.3	Exiting Agent to review all transferring Claims and complete Status Report.	Exiting Agent
Stakeholder Communication	7.4	NI will advise all affected Employers and Injured Workers of their file transfer.  Exiting Agent is to advise all other file stakeholders of the file transfer.	Nominal Insurer Exiting Agent
Benefit Payments in Advance	7.5	Exiting Agent to review duration of the WorkCover Certificate of Capacity for Claims with payment of weekly Benefits and review duration of payments under S36, S37, S38, S39 and S40.	Exiting Agent
PAYG taxation summary	7.6	Exiting Agent must issue a PAYG Summary for period up to transfer date.	Exiting Agent
Payment of Accounts and Invoices	7.7	Exiting Agent to note any accounts and invoices approved but unpaid on File Status Report.	Exiting Agent
File Receipt Review Claim Files	9.2	Receiving / Continuing Agent must conduct a file review within 15 Business Days of receipt, and advise Exiting Agent of any file discrepancies within 15 Business Days following transfer.	Receiving / Continuing Agent
EFT Direct Debits	10.4 10.4	Exiting Agent to arrange cancellation of all EFT direct credit and debit arrangements for Claims being transferred.  Receiving / Continuing Agent is responsible for advising payers of receipt of redirected payments and changes to payment details/arrangements.	Exiting Agent  Receiving / Continuing Agent
Tax File Number	10.9	NI to include tax file declaration in advice letter. Receiving / Continuing Agent to follow	Nominal Insurer /

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Requirements	Ref	Description/Actions	Responsibility
Declaration		up receipt / non receipt with claimant.	Receiving / Continuing Agent
Request for Closed Claim File	11.2	Receiving / Continuing Agent to lodge a request with Exiting Scheme Agent for preparation and provision of a file for the Closed Claim upon re-opening.	Receiving / Continuing Agent
Acknowledgement of Receipt	11.3	Transfer Out Agent to acknowledge to the Receiving / Continuing Agent receipt of the request (for Closed Claim file) within 24 hours and commencement of file retrieval.	Transfer Out Agent
Retrieval of file	11.4	Transfer Out Agent is responsible for preparation and retrieval of the file (Closed Claim) upon receipt of request from Receiving / Continuing Agent.	Transfer Out Agent
Preparation of File	11.5	Transfer Out Agent is responsible for the preparation of the Closed Claim files.	Transfer Out Agent
Transfer – Closed Claim File	11.6	Transfer Out Agent arranges transport for the Closed Claim files and confirms details of transport arrangements with the Receiving / Continuing Agent. Transfer of files required within 5 days of acknowledgement of request.	Transfer Out Agent
Retrieval Difficulties	11.7	11.7 Transfer Out Agent must communicate to Receiving / Continuing Agent within 3 days of acknowledgement of receipt of request, if experiencing difficulties retrieving and preparing of a closed file.	
Urgent request for Files	11.9	Transfer Out Agent to retrieve, prepare and deliver Claim file within 2 days if Claim file is required urgently by the Receiving / Continuing Agent.	Transfer Out Agent

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#### 12.3 File Transfer

Requirement	Ref	Description / Actions	Responsibility
Policy File Transfer			
Preparation	6.1	a) Agent creates paper file for each Policy being transferred.	Exiting Agent
		b) Agent places file/s in boxes.	Exiting Agent
		c) Agent confirms file/s ready for transfer to NI Representative.	Exiting Agent
Transport	6.2	a) Agent arranges transport of files.	Exiting Agent
		b) Agent releases files to transport service provider.	Exiting Agent
		c) Agent verifies receipt of files to Exiting Agent and NI Representative.	Receiving / Continuing Agent
		d) Transport Service provider delivers files to Receiving / Continuing Agent.	Courier
Claim File Transfer			
File Preparation	8.1	a) Agent collates all related files and Documentation.	Exiting Agent
		b) Agent places file/s in boxes.	Exiting Agent
		c) Agent confirms files ready for transfer to NI Representative.	Exiting Agent
Transport	8.2	a) Agent arranges transport of files.	Exiting Agent
		b) Agent confirms details of transport services with Receiving / Continuing	Exiting Agent
		Agent and NI Representative.	
		c) Agent releases files to transport service provider.	Exiting Agent
		d) Files delivered to Receiving / Continuing Agent.	Courier
		Agent verifies receipt of files with Exiting Agent and NI Representative.	Receiving / Continuing Agent

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### 13. Templates For File Transfer 13.1 Box / Carton Label Transferring to: Address: Attention: Phone: Transferring from: Phone: Contact: **Total Boxes: Box Number:** Format Type: Case Notes **Paper Image** Number of Files: Place "Red" Despatch date: **Urgent Action** Sticker Here Attach this label to wide side of each box

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#### 13.2 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 No	Duplicate File: Yes No

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#### 13.3 File Label – Policy

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

Agent:		_	Agent:
ldentifier:		-	Identifier:
Employer:		_	Employer:
ABN:		_	ABN:
Commencement:			Commencement:
Duplicate File:	Yes No	]	Duplicate File: Yes No

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#### 13.4 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 of Box: Date: Note any "Urgent Action Required" Identifier Name Format (Image/paper) **Action / Comments Agent Confirmation:** Compiler

**Print Name** 

**Compiled Date:** 

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#### 13.5 Inventory Of Records – Policies

Fax this form to the Receiving Scheme Agent. Retain original. Commence a new page for each box.

То:				
Contact:		_ Fax:		
From:		_ Ph:		
Page:	of	Box:	of	<u> </u>
Date:		_		
			Note any "Urge	ent Action Required"
Identifier	Name	Format (Im	age or Paper)	
Agent Confirmation:	Compiler	Print Name		
	Compiled Date:			

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#### 13.6 File Status Report - Claim

Identifier:		Date of Injury:	
Surname:	First Name:_	Initial: DOB:	
Liability Status:			
Injury Type:	Curren	t work capacity:	
Policy Agent:	Policy No	: Renewal Date:	
Input Tax Credit Rate:		<u> </u>	
Type of Claim: Weekly Co	mpensation: Y / N	Medical and like expenses: Y/N S66 / 67: Y/	N
Shared Cl	aim: Y / N	Concurrent Claim: Y / N Fatality Clain	n: Y / N
Work Status: Working – sa	ame employer Y/	N Working different employer Y / N Not Working	g: Y/N
Overseas worker: Y / N			
Urgent Action Pending: Y	/ N	Effective Date:	
Comments:			
Significant Claims Issues:			
Benefits			
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:	
Payment Recipient:	Employer: Y/N	Worker: Y/N	
Last Weekly Payment:	Amount:	Date:	
Certificate of Capacity dat	es: From:	To:	
Child Support/ Centrelink	: Reference:	Amt deducted: Paid to date:_	
Duration of Payments:			
1 <sup>st</sup> Entitlement Period: Y	/ N	2 <sup>nd</sup> Entitlement Period: Y / N	
		2 <sup>nd</sup> Entitlement Period: Y / N	
After 2 <sup>nd</sup> Entitlement Peri	od (after 130wks):		
After 2 <sup>nd</sup> Entitlement Peri Weeks of Entitlement paid	od (after 130wks): d: recipient of weekly	Y/N	

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Appeals / Disputes: Y / N	Jurisdiction:	WCC Matter No:	-
Common Law:	Settlements: _		
Related Claims: Y / N Detail	s:		
Recoveries:			
Un-actioned Correspondence / Unp	aid Accounts / Invoices		
Details:			
Future agreed treatment:			
Details:			-
			_
			_
Agent Confirmation (13.6 and 13.7)			
	Р	rint Name	
	Review Date:		

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#### 13.7 Work Capacity Decisions

Work	Capacity Decisions	
When	was the last Work Capacity Decision (WCD) made?	
>	Last WCD Date:	
>	Date Worker notified of WCD:	
>	Last WCD effective date of Benefit change:	(S54 / Clause 21)
ls an I	nternal Review of a WCD pending? Y / N	
>	IR lodgement date:	
>	IR decision due date:	
ls a M	erit Review of a WCD pending? Y / N	
>	MR lodgement date:	
>	MRS Reference Number:(d)	
Is a re	ply pending by the insurer to a Merit Review? Y / N	
>	MR Reply due date:	
Is a W	IRO Procedural Review of a WCD pending? Y / N	
>	WIRO lodgement date:	
>	WIRO Reference Number:	

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#### 13.8 File Status Report – Policy

Policy Holder Ident	ifier:							
Stakeholder Con	tact Detai	ls						
				Employer Co	ntact	Name:		
Trading Name:				Employer Co	ntact	: P:		
Trust Name:						M:		
Employer ABN:						F:		
						_E:_		
Group Name:				Broker Firm:				
Group Number: _				Broker Conta				
No. policies in grou	ıp:			Broker Conta	ict:	P:		
						<u>M:</u> E:		
<b>Premium Details</b>						_ <u></u>		
Business Commend		e:		Employer C	atego	ory: Small /	Medium / Larg	je
Current Wage Estir	nate: _	, ,		. ,	_	,	, ,	•
Prior Term Wages:	W1	WIC:		Wages: \$				E/A
	W2	WIC:		Wages: \$				E/A
	W3	WIC: _		Wages: \$				E/A
Prior Term Claim C	octo: C1:	¢	C2:	¢		C3: \$		
Reimbursement Sc						C3. \$ N		
Premium Collect	_		Cidim r dyment.	•				
Premium Due:	ion Detail	y N	Total Pre	mium Due:	\$			
Premium Overdue:		Y N		mium Overdue				
Instalment Type:		Q M	Repayme	nt Plan:		Υ	N	
Direct Debit Arrang	ement:	Y N				Υ	N	
Payment Method:		EFT D	D Third Part	Provider:				
Status of Collection	Activity:							
<b>Wage Audit Deta</b>	ils							
Wage Audit:	Υ	N	Currei	nt Wage Audit	/	Previous Wag	ge Audit	
Report Received:	Υ	N	Repor	t Processed:	Υ		N	
Auditor Firm			·					
Auditor Firm:								
<b>Agent Confirmat</b>	ion							
Comments:								
Reviewer Name:				Review Date:			_	
•								

Note: If multiple WIC's provide break-up of W1, W2 and W3 for each WIC in previous years.

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#### 13.9 File Status Report – Seriously Injured Worker Claim

Identifier:		Date of Injury:	
Surname:	First Name:_	Ir	nitial: DOB:
Liability Status:			
Injury Type:	Currer	nt work capacity:	
Policy Agent:	Policy N	lo:	Renewal Date:
Input Tax Credit Rate: _			
Type of Claim: Weekly	Compensation: Y / N N	Medical and like expen	nses: Y/N S66/67: Y/N
Shared	Claim: Y / N C	Concurrent Claim: Y/	N
Work Status: Working Overseas worker: Y / N	; – same employer Y / N	I Working different e	employer Y / N Not Working: Y / N
<b>Urgent Action Pending:</b>	Y/N Eff	fective Date:	
Comments:			
Benefits			
Frequency:	Weekly: Y / N Mo	onthly: Y/N	Other: Y/N
Method:	Cheque Y / N Dir	rect deposit: Y/N	Other: Y/N
Bank Account Details:	BSB:	Account No:	
Payment Recipient:	Employer: Y/N	Worker: Y/N	
Last Payment:	Amount:	Date:	
Certificate of Capacity of	ates: From:	To:	
Child Support/ Centrelin	<b>ık</b> : Reference:	Amount deducted	d: Paid to date:
<b>Duration of Payments</b>	:		
1 <sup>st</sup> Entitlement Period: `	//N	2 <sup>nd</sup> Entitlement Pe	eriod: Y /N
After 2 <sup>nd</sup> Entitlement Pe	riod (after 130wks): Y/	N	
Weeks of Entitlement p	aid:		
Was Claimant an existin weekly payment amend		•	pefore the commencement of the

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History				
Appeals / Disputes: Y / N Jurisdiction: WCC Matter No:				
Common Law: Settlements:				
Related Claims: Y / N Details:				
Recoveries:				
Outstanding Items / Unpaid Accounts / Invoices				
Details:				
Identification of Seriously Injured Workers				
Has the Threshold been applied? Y / N				
Permanent Impairment Assessment amount (WPI % Figure):				
Medical Specialist Name:				
Date of Medical Report:				
Has the degree of Permanent Impairment not been fully ascertained? Y / N / N/A				
Injury management of Seriously Injured Workers				
Is there a current Injury Management Plan in place? Y / N				
Date of latest Injury Management Plan?				
Current Service and Treatment Providers				
Does this claimant receive care? Y / N				
Primary Carer contact details. Name: Phone:				
Additional Details:				
Outstanding Items (e.g. home/vehicle modifications; impending surgery):				
Current Treatment:				

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Home Purchased	Y/N	Date:			
Vehicle Modifications	Y/N	Date:			
Vehicle Purchase	Y/N	Date:			
Utilities Paid	Y/N	Date:			
Paid recreational/holiday travel	Y/N	Date:			
Claim co-shared with LTCS	Y / N	Date:			
Recent contact with IW (Phone/email/face to face)	Y/N	Date:			
Community Living Plan	Y / N	Date:			
Care Review Assessment	Y/N	Date:			
External Case Manager engaged	Y / N	Date:			
Other (Please Specify & Date):					
Brief Summary of Progress (Include	e any Signific	cant Barriers):			
Agent Confirmation (13.9): Reviewer: Print Name					
Review Date:					

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#### **13.10 Cancelled Cheque Notification To Scheme Agent**

Fax this form to th	ie Scheme Agent issuing the o	cheque. Retai	n original.				
То:							
Contact:	-				Fax:		
From:					Ph:		-
Page:	Of						-
Date:			-				
						Issuing Age	nt Use
		Chq	Chq				Bank
Identifier	Name	Number	Amount	Payee	Reason for Cancellation	Reissue	Advised
Comments:	Use this section to advise	any change	d details for r	eissue, e.g. new address, new amount etc	>.		
_							

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#### 13.11 Claim File Stakeholder Contact Listing

Include all stakeholders for past 12 Months – e.g. doctors, legal reps, recovery agents and WCC

Identifier:	<del>-</del>	
Policy Agent:		
Policy Number:		
Employer:		
Address:		
Contact:	Phone	:
	Fax:	
Claimant Surname:		
First Name:	Initial:	
Address:		-
Representative:	Phone Fax:	
Service Provider Type:		
Name:	Provid	er No.:
Address:		
-		
Contact:	Phone	:
-	Fax	:

Complete and attach additional forms if more contact details are required.

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#### 13.12 Advice Of Transfer

ELEMENT	STAKEHOLDER	DEVELOPED BY	SENT BY
Advice of Policy transfer	Employer	WorkCover	Nominal Insurer
Advice of Claim transfer	Employer	WorkCover	Nominal Insurer
Advice of Claim transfer	Injured Worker	WorkCover	Nominal Insurer
Advice of invoicing changes	Service Providers	WorkCover	Exiting Agent
Advice of Claim transfer	Service Provider	WorkCover	Exiting Agent
Advice of Claim transfer and WCC matter number	Workers Compensation Commission	WorkCover	Exiting Agent

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#### **13.13** Request To Access Stored Files

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

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

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13.14 Closed Claims Box / Carton Label – Cl			
Transferring to:			
Address: _			
Attention:		Phone:	
Transferring from:			
Contact: _		Phone:	
Box Number:		Total Boxes:	
Format Type:	Paper:	Image:	Case Notes:
Number of Files:			
Despatch date:	le side of each beau	Urgent Action:	Place "Red" Sticker Here

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# 13.15 Inventory Of Records - Closed Claims Fax this form to the Receiving Scheme Agent. Retain original Commence a new page for each box. To: Contact: \_\_\_\_\_ Fax: \_\_ From: Ph: \_\_\_\_\_ Of \_\_\_\_ Box: \_\_\_\_ of \_\_\_ Page: Date: Note any "Urgent Action Required" Identifier Format (Image or **Action / Comments** Name Paper)

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#### 13.16 Claims Case Notes

Electronic case notes recorded on a Claims Management system will be extracted from the system and placed in the text file. The format of the text file is as follows:

Field	Maximum Character Length
Claim number	19
Separator (~ character)	1
Date of case note	8
Separator (~ character)	1
Subject of case note	200
Separator (~ character) – may be more than one	1
Body of case note – maybe more than one	240
Record terminator	Carriage Return/Line Feed
Claim number	19
Separator (~ character)	1
Date of case note	8
Separator (~ character)	1
Subject of case note	200
Separator (~ character) – may be more than one	1
Body of case note – may be more than one	240
Record terminator	Carriage Return /Line Feed

Each case note must be recorded in the text file. Case notes for each Claim must be recorded in descending date order – i.e. latest case note first, followed by case notes in date order. Claims must be recorded in the text file in ascending order by Claim number.

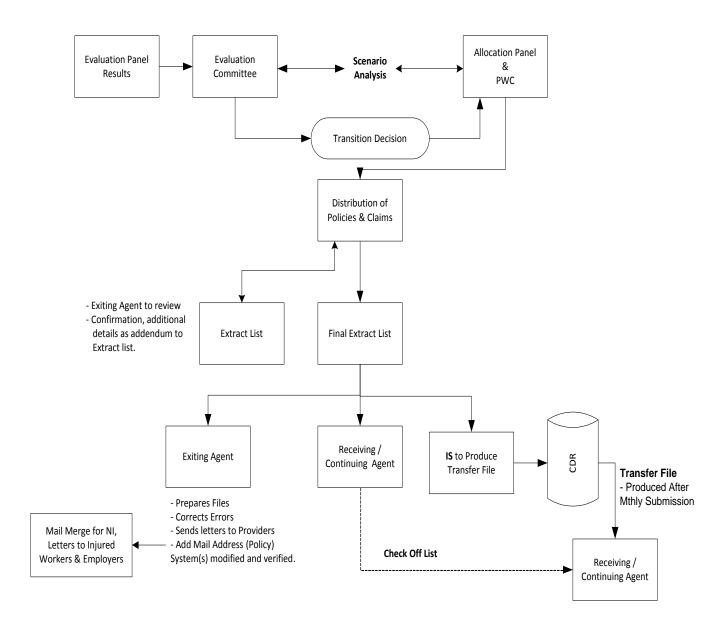
The "Body of case note" field will be broken into multiple fields of 240 characters maximum, partitioned by the separator.

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### 14. Claims And Policy - Market Allocated

#### **Claim and Policy Market Allocation**



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#### **15. Glossary**

**CDR** – WorkCover's Corporate Data Repository.

**WCA** – WorkCover Authority.

NI - Nominal Insurer.

**WCC** – Workers Compensation Commission.

**Transfer Out Agent** – Scheme Agent from whom business is transferring.

**Disengaged Agent** – is the Scheme Agent from whom Claims and Policies (open and closed) are being transferred from and no longer operates as an Agent of the Nominal Insurer

Exiting Agent – refers to both Disengaged and Transfer Out Agent.

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

File stakeholders – all interested parties to a Policy or Claim file within the last 12 Months, including (but not limited to) Employer, 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.

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.

**IR** – Internal Review.

MR - Merit Review.

MRS - Merit Review Service of WorkCover.

WIRO - WorkCover Independent Review Officer.

Claims – Open Claims, Closed Claims, SIW Claims and Tail Claims.

Orphan Claims - Claims where there is no Policy active attached, i.e. Policy ceased, lapsed".

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#### References **16**.

Portability Data Requirements chapter of the General Manual Workers Compensation Act 1987

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