

27 September 2019

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Tēnā koe Bridget

Your Official Information Act request, reference: GOV-001375

Thank you for your request of 30 August 2019, asking for the following information under the Official Information Act 1982 (the Act):

1. *What processes or policies are in place to determine how the Claims Management Team deal with incoming complaints about providers and/or assessors? Please provide a copy of any relevant documentation used to determine this decision making process.*
2. *How are complaints made to the Engagement and Performance Manager about Suppliers, Providers and assessors?*
3. *Are claimants able to make these complaints directly to the Engagement and Performance Manager and if so how, or is the validity of the complaint determined only by the Claims Management Team? If the later, who within the team decides this and is the claimant notified? In relation to Statement of Corrections and complaints made to case managers, you have said (ref: 0054109):*
"To ascertain the number of complaints that may have been received by the Claims Management Team would require a manual search of individual claim files."
You have also said similarly regarding the lodgement of Statement of Corrections in relation to 2 named assessors (Dr's Collier and Farnell). It appears no statistical or useful reference is kept of those very important documents and they end up being hidden away in claimants files.
Within a "fair and sustainable scheme" a higher number of complaints and/or Statement of Corrections being lodged could indicate valid concerns about the integrity of the assessment process or assessor.
4. *Why does ACC not have a more responsible, robust and transparent system in place to keep track of provider and assessor complaints, and Statement of Corrections?*
5. *Do ACC consider assessors, being non-treatment providers of services to the Corporation, as included within s39 (b) and (c) of the AC Act 2001 and therefore subject to the provisions of the Code of Claimants rights? If not why not?*
6. *If so then why do ACC consistently refer claimants to HDC for complaints involving disputed assessments/reports?*

Provider complaints process (Q1 and Q2)

Please refer to the attached document 'Managing provider and supplier performance issues'. Please also refer to our response ref: GOV-001479 for information relating to general customer complaints.

Clients can contact the Engagement and Performance Management team (Q3)

Clients are able to communicate concerns directly with EPMs, either via phone or email. However, we encourage clients to speak directly to their case owner or their Team Manager first, or if required, to the provider's professional body or association, or the Health and Disability Commissioner (HDC).

Tracking complaints and statements of correction (Q4)

This is not a request for official information, it is asking for ACC to provide an opinion. We refer you to the Office of the Ombudsman's guide Making official information requests. This is available on the Ombudsman's website at: www.ombudsman.parliament.nz/resources-and-publications/guides/official-information-legislation-guides.

Non-treating assessors that do not come under the Code of Claimants Rights (Q5)

ACC's position is that non-treatment services are being provided to ACC rather than the client, and so do not fall within the Code of AC Claimants' Rights criteria.

The role of the Health and Disability Commissioner (HDC) (Q6)

We inform clients of their right to contact HDC if they have a complaint regarding a provider's conduct, behaviour or practice.

How you can reach us

If you have any questions, you can email me at GovernmentServices@acc.co.nz.

Nāku iti noa, nā



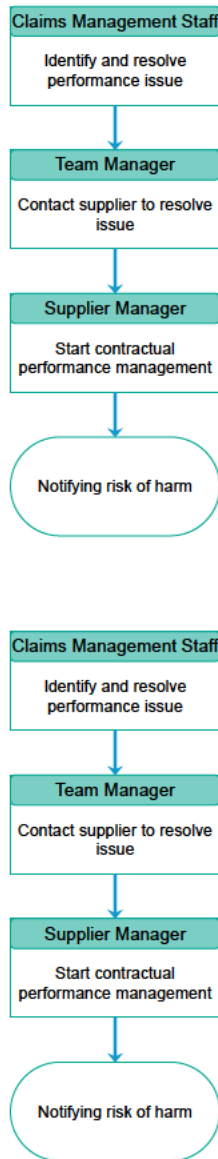
Emma Coats
Manager Official Information Act Services
Government Engagement & Support

Managing provider and supplier performance issues

Use this process for managing issues that occur with suppliers (also known as vendors) and providers. Where we notice an ongoing trend of poor performance by a provider, or a provider delivers a service that does not meet expectations it is important that we contact them to give them the opportunity to improve, rather than simply not referring to them again. Each stage represents an escalation of the process.



Click on a shaded box for instruction details



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Identify and resolve performance issue

Responsibility

Claims Management staff member who identifies a provider/supplier performance issue.

When to use

Use this instruction when you identify a provider or supplier performance issue.

Instruction

Step 1

If appropriate attempt to resolve the performance issue yourself, directly with the provider or supplier.

If you need to discuss...	then raise the matter directly with...
<ul style="list-style-type: none"> the timeliness of a report questions about the content of a report requests for further clarifications or amendment to a report 	<ul style="list-style-type: none"> the provider go to step 2
<ul style="list-style-type: none"> a client complaint about the services provided by a provider concerns a case owner has about a provider, eg advice, recommendations, quality of intervention communication or relationship with a provider that has become strained 	<ul style="list-style-type: none"> the supplier go to step 2
concerns a case owner has about a provider, eg advice, recommendations, quality of intervention, that relate to an IMA or VIMA	<ul style="list-style-type: none"> go to VMS provider performance management framework this process ends
potential or actual fraud	<ul style="list-style-type: none"> Integrity Services this process ends

Step 2

Call the provider or supplier and discuss your concerns

If the issue is...	then...
resolved and the provider or supplier makes the required changes	<ul style="list-style-type: none"> continue to monitor performance this process ends
with a provider and not resolved	<ul style="list-style-type: none"> discuss with your Team manager/Unit manager go to Step 3
with a supplier and not resolved	<ul style="list-style-type: none"> discuss with your Team manager/Unit manager go to Contact supplier to resolve issue

Step 3

Where you are unable to contact the provider or have serious concerns about the activity completed by the provider, it may be appropriate for you or your team manager to call the supplier directly to discuss your concerns.

If the issue is...	then...
resolved and the provider makes the required changes	<ul style="list-style-type: none"> continue to monitor performance this process ends
not resolved	<ul style="list-style-type: none"> discuss with your Team manager/Unit manager go to Contact supplier to resolve issue

Contact supplier to resolve issue

Responsibility

Team or unit manager

When to use

Use this instruction when a case owner or other claims management staff member has been unsuccessful in resolving a performance issue with a provider or supplier.

Instruction

Step 1

Call the supplier to discuss the issue and work on a resolution.

If the issue is...	then...
resolved	<ul style="list-style-type: none"> the Team manager/Unit manager continues to monitor performance this process ends
not resolved	<ul style="list-style-type: none"> escalate to Supplier Manager. For Vocational Rehabilitation Services and Integrated Home and Community Support Services, contact lead supplier manager for the service. go to Step 2

Step 2

Prepare a summary in Eos of action taken to date for the supplier manager. This should include details of communications with the provider and supplier to resolve the issue.

What happens next

Go to **Start contractual performance management**

Start contractual performance management

Responsibility

Supplier manager or Lead supplier manager for service

When to use

Use this instruction when a team manager and a case owner have been unsuccessful in resolving a performance issue with a provider or supplier.

Before you begin

Some specialist services, eg Transport for Independence or Housing Modifications have Subject Matter Experts who may be able to assist

Instruction

Step 1

Follow the contractual performance management process.

If the issue is about...	then the supplier manager will...
interpretation of the contract expectations	<ul style="list-style-type: none"> recommend further action by the case owner go to Identify and resolve provider performance issue
contract non compliance and failure of the supplier to take advice on changes required	<ul style="list-style-type: none"> arrange to meet the supplier to discuss corrective action or provide education about the service go to step 2

Step 2

If appropriate create a formal performance improvement plan.

Step 3

If the issue is...	then...
resolved	<ul style="list-style-type: none">• add a note in Ariba and continue to monitor performance• this process ends
not resolved	<ul style="list-style-type: none">• consider escalating to Provider Conduct Panel. See Notifying risk of harm• this process ends