

#	Finding	Action	Owner	Due Date	Status	Score 0 = <50% .5 = > 50% 1 = Done
2017-001	<p>Condition: During the transition to new vendor in early 2015, all County manual files held by the previous vendor were scanned into electronic files into the new online system. The scanned files were not properly named and therefore difficult to find the WC-1, WC-2 & WC-3 forms. In addition, some electronic claim files were incomplete and documents were obtained from Risk Management Officer rather than the vendors scanned files.</p> <p>Cause: The County did not have a monitoring process over workers compensations claims throughout the change in vendors.</p> <p>Effect: Documentation that should be maintained in claimant files was not easily located. The County's worker's compensation files are not organized and appear incomplete.</p>	1) Closed cases will not be modified however will be retained until 8 years after final insurance payment date. These are rarely accessed and information is available with minimal effort/time in rare event the case is reopened. A full review of old, transitioned cases including 237 Indemnity and 20 Medical only cases has been completed.	Lydia Toda	4/15/2018	100% DONE	1
		2) Remaining Open Cases from the transition as determined by the above evaluation will be populated with required WC 1, 2 & 3 forms.	Lydia Toda	6/30/2018	80% complete, New Due Date 10/1/2018, a total of <40 do not have WC1s from former vendor, checking with their departments now	0.5
		3) When using a third-party vendor to support RM functions, RM assigns an individual with appropriate oversight to manage the relationship. This includes maintaining frequent contact with key vendor personnel, follow up on unusual items, resolving issues and reporting any issues to the county. Ongoing: Risk Management Officer and Sedgwick meet quarterly to review key performance indicators. Risk Management employees interact frequently as needed with vendor to maintain data integrity of system input and function of closing cases. Our Stewardship (performance) Report is reviewed annually. Additionally, Sedgwick and Risk Management Officer meet to discuss management and other non-claims issues as-needed throughout the year.	Lydia Toda	Ongoing	100% Done - Ongoing Monitoring	1
		4) Monitor quality of worker comp cases input and management on ongoing basis to ensure required docs are being submitted to Sedgwick and being added to system.	Bridget Nakama	Ongoing	100% - Ongoing	1
		5) Sedgwick to input and clearly classify WC-1, WC-2 and WC-3 forms in ViaOne electronic file system of open cases since April 2015 to ensure easy reference and completeness of both paper and digital reporting for all open and future cases.	Kurt Sibayan	6/30/2018	100% - In Process	1
		6) Monitor quality of injury/medical only being input into ViaOne System, develop metrics and analyse injury trends from county injury data.	Mark Middleton	Ongoing	100% - Ongoing	1

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 (BF-110) Submitted by Corporation Counsel

Revision Date 8/29/2018

#	Finding	Action	Owner	Due Date	Status	Score 0 = <50% .5 = > 50% 1 = Done
Past Audit Items						
2016-002	When using a third-party vendor to support County functions, the County's Risk Management Department should assign an individual with appropriate oversight to manage the relationship. This includes maintaining frequent contact with key vendor personnel, following up on unusual items, resolving issues in a timely manner and reporting any issues to the County.	1) Weekly implementation meetings where held throughout the transfer process with a dedicated transition team from Sedgwick focussed on data integrity and monitoring and assisting with the transfer process. Minutes available upon request. Project commenced 3/2015, concluded 5/2017.	Lydia Toda	Done	100% Done	1
		2) Quarterly performance meetings with Sedwick and the County of Maui are ongoing and Key Performance Indicators(KPIs) are reviewed and relationship is managed closely.	Lydia Toda	Done	100% Done	1
		3) Ensure data required for Workers Compensation and General Liability business is available as needed. Regardless of location and depth of digital keyword labeling and categorization, all required files are accessible and maintained in accordance with record retention guidelines being 8 years from final insurance payment.	Lydia Toda	Ongoing	100% Done	1
						5.5 / 6
						92%