|  |
| --- |
| **SRF\_921\_0: COVID-19: Pandemic Data Collection (Monthly Data)** |

|  |  |
| --- | --- |
| **Australian Business Number** | **Institution Name** |
|  |  |
| **Reporting Period** | **Scale Factor** |
| Monthly |  |
| **Reporting Consolidation** |  |
| Solo Books |  |

|  |
| --- |
| **Complaints, insurance and advice** |

|  |  |  |
| --- | --- | --- |
|  | **All complaints** | **Insurance related complaints** |
|  | **(1)** | **(2)** |
| 1. **Complaints handled through internal dispute resolution processes**
 |  |  |
| * 1. Number of open complaints at the beginning of the period
 | OI14420 | OI14421 |
| * 1. Number of complaints closed during the period
 | OI14422 | OI14423 |
| * 1. Number of open complaints at the end of the period
 | OI14424 | OI14425 |
| * + 1. *Of which:* Number of open complaints that have been open for more than 90 days
 | OI14426 | OI14427 |

|  |  |
| --- | --- |
|  | **Member accounts** |
|  | **(1)** |
| 1. **Insured member accounts**
 |  |
| * 1. Number of member accounts with any type of insurance coverage at the beginning of the period
 | OI14428 |
| * 1. Number of member accounts where insurance was cancelled due to ERI payments
 | OI14429 |
| * + 1. *Of which:* Insurance cancelled due to account closure
 | OI14430 |
| * + 1. *Of which:* Insurance cancelled due to insufficient funds to pay premiums, but account remains open
 | OI14431 |
| * + 1. *Of which:* Insurance cancelled due to other reason
 | OI14432 |

|  |  |  |
| --- | --- | --- |
|  | **Number of member accounts** | **Value of claims** |
|  | **(1)** | **(2)** |
| 1. **Insurance claims**
 |  |  |
| * 1. Undetermined life insurance claims at the beginning of the period
 | OI14433 | OI14434 |
| * 1. Undetermined total and permanent disability insurance claims at the beginning of the period
 | OI14435 | OI14436 |
| * 1. Undetermined income protection claims at the beginning of the period
 | OI14437 | OI14438 |
| * 1. New life insurance claims received during the period
 | OI14439 | OI14440 |
| * 1. New total and permanent disability insurance claims received during the period
 | OI14441 | OI14442 |
| * 1. New income protection claims received during the period
 | OI14443 | OI14444 |
| * 1. Life insurance claims finalised during the period
 | OI14445 | OI14446 |
| * 1. Total and permanent disability insurance claims finalised during the period
 | OI14447 | OI14448 |
| * 1. Income protection claims finalised during the period
 | OI14449 | OI14450 |
| * 1. Undetermined life insurance claims at the end of the period
 | OI14451 | OI14452 |
| * 1. Undetermined total and permanent disability insurance claims at the end of the period
 | OI14453 | OI14454 |
| * 1. Undetermined income protection claims at the end of the period
 | OI14455 | OI14456 |

|  |  |
| --- | --- |
|  | **Average duration** **(in days since receipt of claim)** |
|  | **(1)** |
| 1. **Claim duration**
 |  |
| * 1. Life insurance claims finalised during the period
 | OI14457 |
| * 1. Total and permanent disability insurance claims finalised during the period
 | OI14458 |
| * 1. Income protection claims finalised during the period
 | OI14459 |
| * 1. Life insurance claims that remain undetermined at the end of the period
 | OI14460 |
| * 1. Total and permanent disability insurance claims that remain undetermined at the end of the period
 | OI14461 |
| * 1. Income protection claims that remain undetermined at the end of the period
 | OI14462 |

|  |  |
| --- | --- |
|  | **Number of member accounts** |
|  | **(1)** |
| 1. **Advice**
 |  |
| * 1. Member accounts provided with intra-fund advice related to early release payments during the reporting period
 | OI14463 |

|  |
| --- |
| **Operational resilience** |

|  |  |
| --- | --- |
|  | **Response** |
|  | **(1)** |
| 1. **Fraud risk**
 |  |
| * 1. Number of external fraud incidents identified during the reporting period
 | OI14464 |
| * + 1. *Of which:* Attributable to COVID-19
 | OI14465 |
| * 1. Number of internal fraud incidents during the reporting period
 | OI14466 |
| * + 1. *Of which:* Attributable to COVID-19
 | OI14467 |
| * 1. Value of largest single fraud incident (in $) during the reporting period
 | OI14468 |
| * 1. Total potential value of near misses (in $) during the reporting period
 | OI14469 |
| * 1. Provide commentary on date of occurrence, causes, remediation/recovery activities and timeframes for systemic incidents, material incidents and near misses.
 | OI14470 |

|  |  |
| --- | --- |
| 1. **Fraud profile**
 | **Response** |
| * 1. Has your entity's fraud risk profile changed in the last 3 months?
 | OI14471 |
|  | Yes - Increased |
|  | Yes - Decreased |
|  | No change |

|  |  |
| --- | --- |
|  | **Response** |
| * 1. Were these changes directly related to the impact of COVID-19 on your operations?
 | OI14472 |
|  | Yes |
|  | No |

|  |  |
| --- | --- |
|  | **Response** |
| * 1. Have you changed your fraud oversight and management reporting as a result of changes in your entity's fraud risk profile?
 | OI14473 |
|  | Yes |
|  | No |

|  |  |
| --- | --- |
|  | **Response** |
| * + 1. If item 7.3 response is yes, please outline the main change
 | OI14474 |
|  | Monitoring of heightened existing risks |
|  | New risks |
|  | Reporting content |
|  | Audience or distribution |
|  | Other |

|  |  |
| --- | --- |
|  | **Response** |
|  | **(1)** |
| * + 1. Please note any other changes
 | OI14557 |
|  |
|  |
|  | **Response** |
|  | **(1)** |
| * 1. What additional or increased fraud risks have been accepted as part of responding to COVID-19?
 | OI14475 |
| * 1. Did this exceed the entity’s existing tolerance/appetite for fraud risk?
 | OI14476 |
| * 1. How many controls exist to mitigate payment of fraudulent applications for early release?
 | OI14477 |

|  |  |
| --- | --- |
|  | **Response** |
| * 1. Please list the key control
 | OI14478 |
|  | Account flag/block |
|  | SMS messaging |
|  | Call confirmation |
|  | Other |

|  |  |
| --- | --- |
|  | **Response** |
|  | **(1)** |
| * + 1. Please note any other key controls not reported in item 7.7
 | OI14479 |

|  |  |
| --- | --- |
|  | **Response** |
| * 1. Do you currently have adequate staffing in place to monitor fraud?
 | OI14480 |
|  | Yes |
|  | No - seeking additional headcount |
|  | No - seeking additional experienced staff |
|  | No - seeking headcount and experienced staff |

|  |  |
| --- | --- |
|  | **Response** |
|  | **(1)** |
| * 1. Please note any additional observations on fraud risk in your entity
 | OI14481 |

|  |  |
| --- | --- |
| 1. **Outsourcing risk**
 | **Response** |
| * 1. During the reporting period, were any service providers unable to deliver critical business activities?
 | OI14482 |
|  | Yes |
|  | No |

|  |  |
| --- | --- |
|  | **Response** |
| * + 1. If item 8.1 response is yes, was the issue still outstanding by the end of the reporting period?
 | OI14483 |
|  | Yes |
|  | No |

|  |  |
| --- | --- |
|  | **Response** |
| * + 1. If item 8.1.1 response is yes, are any of the service provider(s) based offshore?
 | OI14484 |
|  | Yes |
|  | No |

|  |  |
| --- | --- |
|  | **Response** |
|  | **(1)** |
| * + 1. If item 8.1.2 response is yes, please list any offshore location(s)
 | OI14485 |
| * 1. During the reporting period, how many service providers were unable to deliver critical business activities?
 | OI14486 |
| * 1. During the reporting period, how many service provider related incidents of critical business activities disruptions have there been?
 | OI14487 |
| * 1. Please list the service providers unable to deliver critical business activities
 | OI14488 |

|  |  |
| --- | --- |
|  | **Response** |
| * 1. What was the primary business function affected by the disruption(s)?
 | OI14489 |
|  | Administration |
|  | Custodian |
|  | Investment |
|  | Other |
|  | N/A |

|  |  |
| --- | --- |
|  | **Response** |
|  | **(1)** |
| * 1. What other business functions were affected by the disruption(s)?
 | OI14490 |
| * 1. Provide a short description of the disruption(s).
 | OI14491 |
| * 1. What was the root cause of the disruption(s)? e.g. infrastructure limitations, insufficient resources
 | OI14492 |
| * 1. What was the duration (in days) of critical service disruptions resolved by the end of the reporting period?
 | OI14493 |
| * 1. What was the duration (in days) of critical service disruptions unresolved by the end of the reporting period?
 | OI14494 |
| * 1. Percentage estimate of remaining service capacity after disruption of service provision
 | OI14495 |

|  |  |
| --- | --- |
|  | **Response** |
| * 1. Where service providers were unable to deliver critical business activities during the reporting period, did any re-negotiation or adjustments to the existing outsourcing agreement including the Service Level Agreements take place?
 | OI14496 |
|  | Yes |
|  | No |