Audit Processing Instructions

Step	Workflow Step	Step Details	Activity
1	*Audit related information received*	a) Information relating to an audit is received via email, phone or mail b) Locate the Account	
Pend System for an Upcoming Audit – Reminder or to Hold Information (Optional)			
2	*Service Team creates an activity to set up a reminder for receipt of the audit and/or to hold information pertinent to the upcoming audit*	a) Click Policies in Navigation Panel b) Highlight Policy o TIP: You may need to change your Policy view to Policies – Expired/History or Include History) c) Create a AUDS activity (F9) on the highlighted policy (or account level if multiple policies are involved) o The Add Activity window opens, confirm selected policy is the desired policy o Click Continue o Select the Category "Audit Workflow" o Select Code AUDS o Update Description, if desired o The Who/Owner will default to the User ID, change if necessary o The Follow-Up/Start Date will default with the current date, change to the desired date o The Status will default to Open o Enter all applicable information into the Note field of the activity o Click Finish d) Drag/Drop and/or Attach any related documentation to the open AUDS activity o Attach To: Activity and confirm that the correct activity is selected o Enter Description of item(s) being attached o Folder: Audits o Enter any Comments, if desired o Click Finish	Manual (F9) AUDS

Audit Processing Instructions

Step	Workflow Step	Step Details	Activity
If Audit or Audit Information Not Received by Follow-Up Date			
3	*Service Team follows up for receipt of the audit or for the requested audit information*	a) Highlight the AUDS activity o Access > Attachments o Highlight the original request o Right click to Send Via Email to the original client/carrier/wholesaler o Update Subject and Message o Confirm Attach is highlighted o Click Send o Attach To: Activity, select the activity and click Finish o Enter Description of item(s) being attached o Folder: Audits o Enter any Comments, if desired o Click Finish o TIP: There are various other ways to accomplish this process. The original email can also be forwarded by double clicking, updating the message and dragging/dropping/attaching back into the AUDS activity from your Sent folder in Outlook. b) Locate the AUDS activity o Double click to open the activity o Advance the Follow up/Start date o Add Notes describing actions taken o Click X in the Navigation Panel to exit the activity	Update AUDS

Audit Processing Instructions

<table>
<tr><th>Step</th><th>Workflow Step</th><th>Step Details</th><th>Activity</th></tr>
<tr><td colspan="4">If Request for Audit Information Received from Carrier</td></tr>
<tr><td>4</td><td>Service Team creates a Service Summary row in order to initiate the audit process</td><td>a) Highlight Policy and confirm there aren't any Service Summary rows with the Stage "In Process"
o If so, update using Actions > Update Stage to Submitted
b) Click Actions > Endorse/Revise Existing Line(s)
o Enter Effective date of the audit and Description
1. TIP: Copy the Description for use later
o Click Detail
c) The Add an Activity window opens, select AUDE
o Update Description, if desired
1. TIP: Paste the previously copied Description
o The Who/Owner will default to the User ID, change if necessary
o The Follow-Up/Start Date will default with the current date, change to the desired date
o The Status will default to Open, accept this default
o Enter all applicable information into Note
o Click Finish
d) Application(s) display in the Navigation Panel
o Click X in the Navigation Panel and select No, leave "In Process"
o Click Finish
e) Drag/Drop and/or Attach the carrier request or any related documentation to the open AUDE activity
o Attach To: Activity and confirm that the correct activity is selected
o Enter Description of item(s) being attached
o Folder: Audits
o Enter any Comments, if desired
o Click Finish</td><td>System
AUDE</td></tr>
</table>

Audit Processing Instructions

<table>
<tr><th>Step</th><th>Workflow Step</th><th>Step Details</th><th>Activity</th></tr>
<tr><td colspan="4">Audit Received/Retrieved from Carrier Website</td></tr>
<tr><td>5</td><td>Audit received from the carrier</td><td>a) Highlight Policy and confirm the initial/first Service Summary row is not in the Stage "Migrated"
o If so, update using Actions > Issue/Not Issue Policy
b) If an "In Process" Audit Service Summary Row already exists, double click and skip to Step f
c) Highlight Policy and confirm there aren't any Service Summary rows with the Stage "In Process"
o If so, update using Actions > Update Stage to Submitted
d) Click Actions > Endorse/Revise Existing Line(s)
o Enter Effective date of the audit and Description
1. TIP: Copy the Description for use later
o Click Detail
e) The Add an Activity window opens, select AUDE
o Update Description, if desired
2. TIP: Paste the previously copied Description
o The Who/Owner will default to the User ID, change if necessary
o The Follow-Up/Start date will default with the current date, change to the desired date
o The Status will default to Open, accept this default
o Enter all applicable information into Note
o Click Finish
f) Application(s) display in the Navigation Panel, advance to the appropriate application/section and update accordingly
g) Click X in the Navigation Panel and select Yes, perform action: Issue/Not Issue Endorsement
h) Click Finish
i) Line: Line(s) of business will populate list; Issue will default; Status will default
j) Click Finish
a) Drag/Drop and/or Attach the audit to the open AUDE activity
o Attach To: Activity and select the activity
o Enter Description of item(s) being attached
o Folder: Audits
o Enter any Comments, if desired
o Click Finish
b) The AUDE activity should still be selected in the Activities list
o Double click to open the activity
Continued on the next page…</td><td></td></tr>
</table>

Audit Processing Instructions

Step	Workflow Step	Step Details	Activity
		o Advance the Follow up/Start date until you are ready to process the audit o Add Notes describing actions taken k) Click X in the Navigation Panel to exit the activity	
Review Audit			
6	*Review audit*	a) Review the audit	
If Audit is Correct, Issue Audit			
7	*If correct, issue audit*	a) Highlight Policy and applicable Service Summary row and confirm the *initial/first* Service Summary row is not in the Stage " In Process", "Submitted" or "Migrated" o If so, update using Actions > Issue/Not Issue Policy b) Actions > Issue/Not Issue Endorsement c) Line: Line(s) of business will populate list; Issue will default; Status will default NOTE: Skip Steps a, b and c if Service Summary Row is already Issued. d) Close Open Activities: Select the open AUDE, change Status to Closed, Add Notes describing actions taken e) Click Finish f) Add the AUD$ activity to advise Accounting of an agency bill premium audit	Close AUDE
Advise Accounting of Agency Bill Additional Premium Audit			
8	*Service Team creates activity*	a) Highlight Policy and create AUD$ activity (F9) b) Click Finish	Manual (F9) AUDS

Audit Processing Instructions

Step	Workflow Step	Step Details	Activity
Deliver Audit to Client			
9	*Service Team delivers endorsement to client via email/mail*	c) Highlight the closed AUDE activity o Access > Attachments o Choose the template Audit Sent to Insured o Right click to Send Via Email to the insured o Click either the Red (Insert Attachment – inside Epic) or Blue (Insert Attachment - outside Epic) Paperclip if additional items need to be attached to the email (i.e. an invoice) o Update subject and message o Confirm Attach is highlighted o Click Send o Attach To: Activity, check Include closed, select the activity and click Finish o Enter Description of item(s) being attached o Folder: Audits o Enter any Comments, if desired o Click Finish o TIP: There are various other ways to accomplish this process. The original email can also be forwarded by double clicking, updating the message, attaching the audit and/or invoice and dragging/dropping/attaching back into the closed AUDE activity from your Sent folder in Outlook. d) Locate the closed AUDE activity o Right click o Add Notes describing actions taken o Click Finish	Update AUDE
Document Audit Activity			
10	*Service Team attaches client/carrier/producer correspondence to the existing activity*	a) Drag/Drop and/or Attach any related documentation to the open AUDE activity o Attach To: Activity and confirm that the correct activity is selected o Enter Description of item(s) being attached o Folder: Audits o Enter any Comments, if desired o Click Finish b) The AUDE activity should still be selected in the Activities list o Right click o Add Note describing actions taken o Click Finish	Update AUDE

Audit Processing Instructions

Step	Workflow Step	Step Details	Activity
If Audit is Incorrect, Request Correction			
11	*If incorrect, request correction*	a) Highlight the AUDE activity o Access > Attachments o Highlight the original request and/or audit received o Right click to Send Via Email to the original carrier/wholesaler o Update subject and message o Confirm Attach is highlighted o Click Send o Attach To: Activity, select the activity and click Finish o Enter Description of item(s) being attached o Folder: Audits o Enter any Comments, if desired o Click Finish b) Locate the AUDE activity o Double click to open the activity o Advance the Follow up/Start date o Add Notes describing actions taken o Click X in the Navigation Panel to exit the activity	Update AUDE
If Audit is Disputed by Insured			
12	*Audit is disputed by insured*	a) Drag/Drop and/or Attach the documentation from the insured to the open AUDE activity o Attach To: Activity and select the activity o Enter Description of item(s) being attached o Folder: Endorsements o Enter any Comments, if desired o Click Finish b) Highlight Policy and applicable Service Summary row o Actions > Issue/Not Issue Endorsement o Line: Line(s) of business will populate list; Issue will default - change to Not Issue; Status will default o Close Open Activities: Select the open AUDE, change Status to Closed, Closed Unsuccessful; select Reason; Add Notes describing actions taken o Click Finish	Reopen Closed AUDE