Auditing and Reporting for System Integrity

SESSION HANDOUT

Prepared for Applied Client Network and Applied Systems

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Updated By:

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Target Audience:

	Accountant/Bookkeeper		Producer
	CSR	x	Trainer
	Carrier		Vendor
x	IT Manager/Systems Coordinator		ALL
x	Operations	x	Other: Managers
x	Principal/Owner		

Table of Contents

Seminar Type: (See appendix)

Seminar Level: Intermediate

Class Description: Learn the "Why" and "How" of conducting internal audits and reporting on your data and servicing workflows. There will be a discussion on the different types of audits: workflow/procedure compliance, data integrity, E&O prevention, workflow monitoring, backlog review etc.

Learning Outcomes:

- Understand what information to audit and why
- See examples of data audit questions
- Learn what reports to use to audit your data
- Analyze and evaluate the results of the audits
- Other ways to use data audits and reports

Assumptions: This seminar is based on the following
Applied Epic 2018

Purpose of Auditing

- Accuracy of your reports
- Standardizing Workflows
- Data cleanup post-migration
- To prevent "Errors and Omissions"
  - Education and training
  - Consistent procedures
  - Documentation
- Balancing workload
- Identify weaknesses and training opportunities
- Performance Reviews

You should audit on a regular basis. It is especially crucial when you first go live on Epic to make sure that people are entering information correctly. It is important after making any change of procedure or workflow to make sure that everyone understands the new way.

Methods of Auditing

- Monitor through use of reports
- Internal Audits
  - Manager does "desk/account" reviews
  - Have the CSRs review someone else's accounts
  - Another office reviews your accounts
- Outsourced

Use a combination of reports scheduled in Epic and account auditing for the best results. Reports give a high-level overview of data and processes. Account auditing will provide a more detailed look at how/if workflows and procedures are being followed.

Reports for Auditing Your Data

Best Practices

1. Schedule reports to run automatically to regularly audit data
2. Run reports in Excel to further sort/filter and organize the data
3. Use Pivot Tables to organize and sort data

New and Lost Business Reports

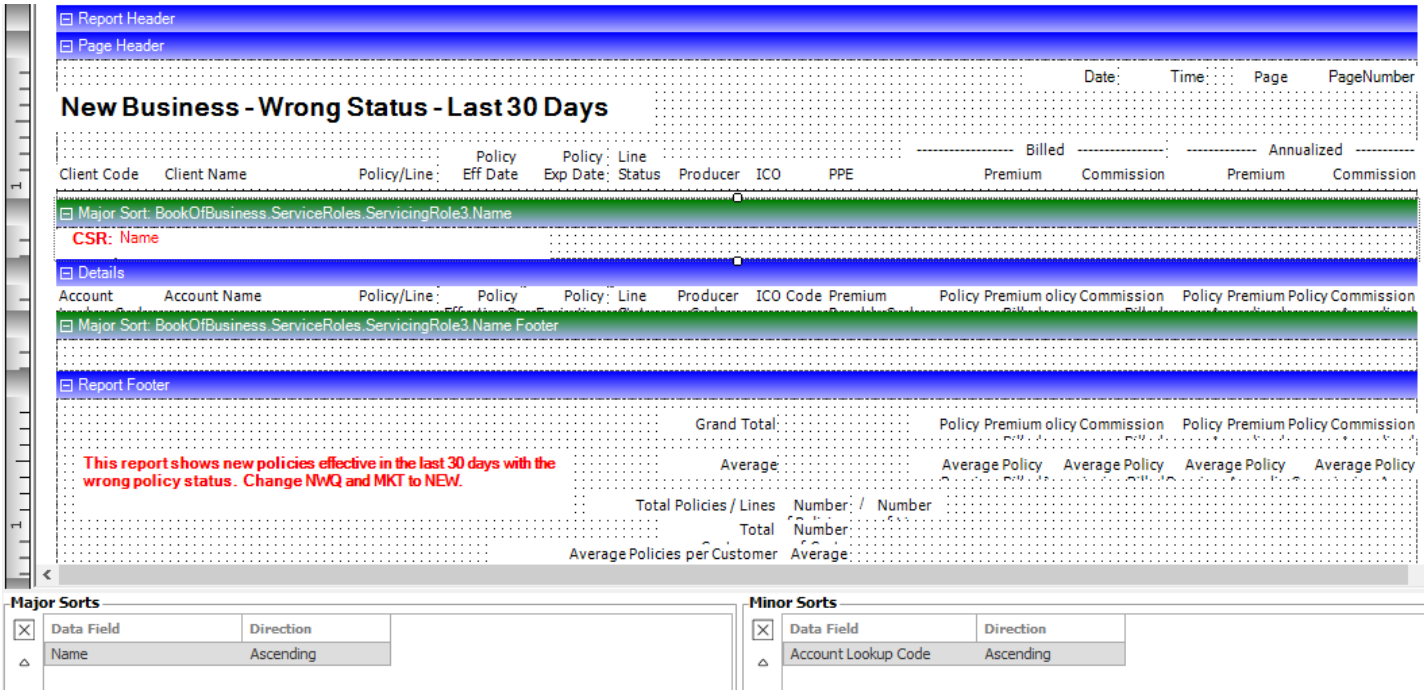
Use to review monthly new and lost business. Run separate reports with incorrect policy status to find errors. Schedule for delivery monthly to management for review.

- Start with the Book of Business – Policy Book report
- The same report is used for New and Lost Business.
  - New Business – Policy Effective Date: System date -30 days
  - Lost Business – Policy Expiration Date: System date -30 days
- Run the report with correct statuses to review current new and lost business
- Run the report with incorrect statuses to view errors – ex. NWQ – New Business Quote on new business or CAN – Cancelled General on lost business

Criteria

Criteria	Selection
Region	All
Agency	All
Branch	All
Department	All
Profit Center	All
Account Lookup Code	All
Client Type	Insured
Policy Type	All
Line Type	All
Policy Effective Date	System Date -30 days
Policy Expiration Date	All
Issuing Company	All
Line Premium Payable Company	All
Line Premium Payable Broker	All
Line Producer	All
Line Status	Selected
Account Status	Active
Prospective/Contracted	Contracted
Policy Premium Billed	All
Policy Premium Annualized	All
Policy Commission Billed	All
Policy Commission Annualized	All
Account Agency Defined Options	All
Parameter Page	Include parameter page
Record Listing	Each time found
Client Service Mgr	All

Add to filter by CSR


Report Header
Page Header
Date
Time
Page
PageNumber
New Business - Wrong Status - Last 30 Days
Billed
Annualized
Client Code
Client Name
Policy/Line
Policy Eff Date
Policy Exp Date
Line Status
Producer
ICO
PPE
Premium
Commission
Premium
Commission
Major Sort: BookOfBusiness.ServiceRoles.ServicingRole3.Name
CSR: Name
Details
Account
Account Name
Policy/Line
Policy
Policy
Line
Producer
ICO Code
Premium
Policy Premium
olicy Commission
Policy Premium
Policy Commission
Major Sort: BookOfBusiness.ServiceRoles.ServicingRole3.Name Footer
Report Footer
Grand Total
Policy Premium
olicy Commission
Policy Premium
Policy Commission
This report shows new policies effective in the last 30 days with the wrong policy status. Change NWQ and MKT to NEW.
Average
Average Policy
Average Policy
Average Policy
Average Policy
Total Policies / Lines
Number
/
Number
Total
Number
Average Policies per Customer
Average
Major Sorts
Data Field
Direction
Name
Ascending
Minor Sorts
Data Field
Direction
Account Lookup Code
Ascending

Missed Renewals

Use to review renewals that should have already been started based on agency procedure. Use to find renewals that expired and were not renewed. Deliver to management for review and add to user's Report Quick View for individual review.

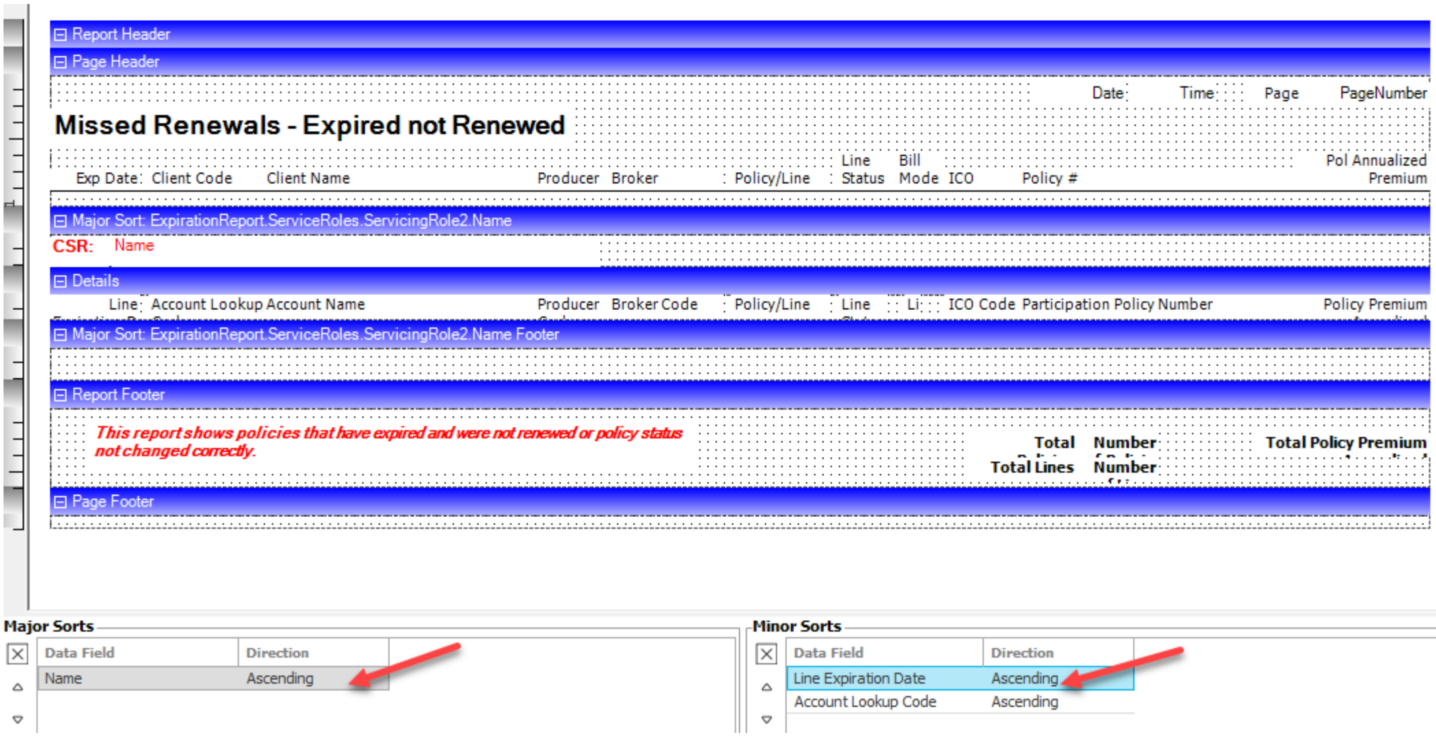
- Run multiple versions
- Monthly: system date +30 days
  - Renewal should have been started in Epic but is not
- Weekly: system date +10 days
  - Renewal should have been started in Epic but is not
- Monthly: system date -30 days
  - Policy expired and was not renewed
- Use standard expiration report but change Major Sort to CSR

Criteria

Criteria	Selection
Region	All
Agency	All
Branch	All
Department	All
Profit Center	All
Account Lookup Code	All
Client Type	Insured
Policy Type	All
Line Type	All
Line Bill Mode	Both
Line Expiration Date	System Date +30 days
Issuing Company	All
Line Premium Payable Company	All
Line Premium Payable Broker	All
Line Producer	All
Line Commissionable Broker	All
Line Status	Selected
Account Status	Active
Prospective/Contracted	Contracted
Lines per Policy	One line per policy
Policies	All policies
Account Agency Defined Options	All
Renewed Policies	Exclude renewed expired policies
Parameter Page	Include parameter page
Client Service Mgr	All

Select current policy statuses, NEW, REN, REW, etc.

Add to filter CSRs if needed


Report Header
Page Header
Date:
Time:
Page
PageNumber
Missed Renewals - Expired not Renewed
Exp Date:
Client Code
Client Name
Producer
Broker
Policy/Line
Line Status
Bill Mode
ICO
Policy #
Pol Annualized Premium
Major Sort: ExpirationReport.ServiceRoles.ServicingRole2.Name
CSR:
Name
Details
Line:
Account Lookup Account Name
Producer
Broker Code
Policy/Line
Line
Li:
ICO Code
Participation Policy Number
Policy Premium
Major Sort: ExpirationReport.ServiceRoles.ServicingRole2.Name Footer
Report Footer
This report shows policies that have expired and were not renewed or policy status not changed correctly.
Total
Number
Total Lines
Number
Total Policy Premium
Page Footer
Major Sorts
Data Field
Direction
Name
Ascending
Minor Sorts
Data Field
Direction
Line Expiration Date
Ascending
Account Lookup Code
Ascending

Missed Renewals - Expired not Renewed

Exp Date	Client Code	Client Name	Producer	Broker	Policy/Line	Line Status	Bill Mode	ICO	Policy #	Pol Annualized Premium
CSR: Anita Otten										
2/19/2017	EMPIBUI-01	Empire Builders			GLIF	NEW	A	BLUCR1	LIF 12345	
2/19/2017	EMPIBUI-01	Empire Builders			GLTD	NEW	A	BLUCR1	LTD 93838	
2/19/2017	EMPIBUI-01	Empire Builders			GMED	NEW	A	BLUCR1	MED 88834	
CSR: Bob Clark										
1/11/2017	BLAUFAM-01	Blau Family Chiropractic	ALFBO1		BOP	REN	D	FIRFU1	BOP7841323549	
1/1/2017	CALIENDE01	Dennis & Georgette Caliendo	STABR1		AUTO	REN	A	TRACA1	AU 2244765	$3,500.00
2/12/2017	SHIPLEJO01	Jordan Shipley	BAIBA1		HOME	REN	A	21SCE1	38299535	
CSR: Connie Bess										
1/1/2017	BOSSIOBE01	Bernie Bossio	NAUDU1		PPKG/HOME	REN	D	CHUGR1	AU 908976538	
1/17/2015	CALIENDE01	Dennis & Georgette Caliendo	ALFBO1		HOME	REN	D	KEMIN1	HO 38749928	
3/19/2017	HENTONJA01	Jane Henton	STABR1		HOME	REN	D	TRACA1	HO 32162577	
CSR: Darcy Waddell										
6/10/2016	WOMEWEL-01	Women's Wellness Center	ALFBO1		GLIA	REN	D	ALLPR1	G87634590	
1/10/2017	WOMEWEL-01	Women's Wellness Center	ALFBO1		GLIA	REN	D	ALLPR1	G87634590	
2/10/2017	WOMEWEL-01	Women's Wellness Center	ALFBO1		PROP	REN	D	STPAU1	PR-0012345	
CSR: Jeff Lloyd										
1/30/2017	CHICMET-01	Chicago Metropolitan Baptist Association	STABR1		CPKG/GLIA	REN	D	TRACA1	CPKG 78349574	$65,000.00
3/17/2017	COLLINOW01	Owen Collins	STABR1		HOME	REN	D	TRACA1	HO 3265783	$7,500.00
CSR: Kara Harris-Crowell										
1/11/2017	BATHWA0001	Wayne & Sally Bath	STABR1		HOME	REN	D	HARIN2	HMA5607934	
3/15/2017	BECKMI0001	Michael & Laura Beck	STABR1		HOME	REN	A	TRACA1	HO 98475731	
1/10/2012	BELLSOCA01	Carole Bellson	COXBR1		PUMB	NEW	D	CHUGR1	UMB 987678902	$577.00
12/1/2011	COLBPRO-01	Colbie Property Management Corp.	STABR1		PROP	NEW	D	OHICA1	PR 20847859	$19,820.00
12/1/2011	COLBPRO-01	Colbie Property Management Corp.	STABR1		GLIA	NEW	D	FIRFU1	CGL23415667	$47,850.00
12/1/2011	COLBPRO-01	Colbie Property Management Corp.	STABR1		GLAS	NEW	D	HARIN1	GS435628209	$5,000.00
12/1/2011	COLBPRO-01	Colbie Property Management Corp.	STABR1		EQFL	NEW	D	HARIN1	EQ234523187	$6,791.64
12/1/2011	COLBPRO-01	Colbie Property Management Corp.	STABR1		CRIM	NEW	D	HARIN1	CR90908765-01	$2,981.37
12/1/2011	COLBPRO-01	Colbie Property Management Corp.	STABR1		ARVP	NEW	D	HARIN1	AR45612859	$4,946.00
12/1/2016	DAVICHA-01	Charles Davidson	STABR1		CPKG/BAUT	REN	D	HARIN1	CP 38923747	$55,000.00
11/15/2015	DAVICHR-02	Christian Davidson	STABR1		HOME	REN	D	HARIN1	HO 32857189	
11/30/2015	DAVICHR-02	Christian Davidson	SILJO1		HOME	REN	D	HARIN1	HO 32857189	
1/12/2017	DIVINEPE02	Peter Divine, Jr.	STABR1		PUMB	REN	D	STPAU1	PUP434485921	

Policies In Process/Submitted over 60 Days

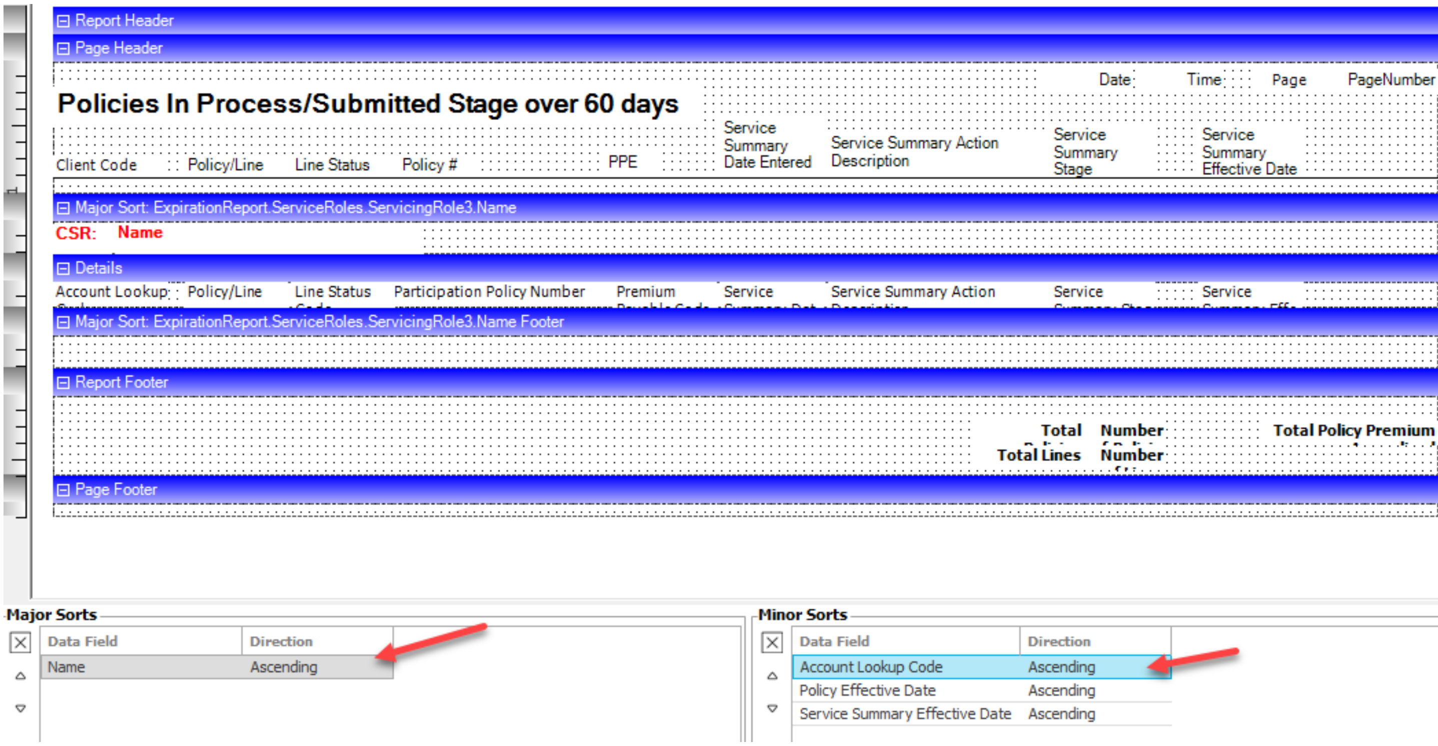
Policies should move through the stages – In Process to Submitted to Issued. If a policy is still In Process or Submitted stage over 60 days then review to find out why.

- Start with Expiration Report
- Schedule for delivery to management once per month. Add to user's Report Quick View so they can review regularly.

Criteria

Criteria	Selection
Region	All
Agency	All
Branch	All
Department	All
Profit Center	All
Account Lookup Code	All
Client Type	Insured
Policy Type	All
Line Type	All
Line Bill Mode	Both
Line Expiration Date	All
Issuing Company	All
Line Premium Payable Company	All
Line Premium Payable Broker	All
Line Producer	All
Line Commissionable Broker	All
Line Status	All
Account Status	Active
Prospective/Contracted	Contracted
Lines per Policy	One line per policy
Policies	All policies
Account Agency Defined Options	All
Renewed Policies	Include renewed expired policies
Parameter Page	Include parameter page
Client Service Rep	All
Line Effective Date	All
Service Summary Action	All
Service Summary Date Entered	Exclude System Date -60 days
Service Summary Effective Date	Exclude System Date -60 days
Service Summary Stage	Selected

Add this criteria


Report Header
Page Header
Date
Time
Page
PageNumber
Policies In Process/Submitted Stage over 60 days
Client Code
Policy/Line
Line Status
Policy #
PPE
Service Summary Date Entered
Service Summary Action Description
Service Summary Stage
Service Summary Effective Date
Major Sort: ExpirationReport.ServiceRoles.ServicingRole3.Name
CSR:
Name
Details
Account Lookup
Policy/Line
Line Status
Participation Policy Number
Premium
Service
Service Summary Action
Service
Service
Major Sort: ExpirationReport.ServiceRoles.ServicingRole3.Name Footer
Report Footer
Total
Number
Total Policy Premium
Total Lines
Number
Page Footer
Major Sorts
Data Field
Direction
Name
Ascending
Minor Sorts
Data Field
Direction
Account Lookup Code
Ascending
Policy Effective Date
Ascending
Service Summary Effective Date
Ascending

Policies In Process/Submitted Stage over 60 days

Client Code	Policy/Line	Line Status	Policy #	PPE	Service Summary Date Entered	Service Summary Action Description	Service Summary Stage	Service Summary Effective Date
CSR: Alex Bombicino								
BLAUFAM-01	BOP	REN	BOP7841323549	FIRFU1	2/10/2016	Renew	In Process	1/11/2015
CSR: Azor Allyn								
HENTONJA01	HOME	REN	HO 32162577	TRACA1	2/10/2016	Renew	In Process	1/19/2015
LEMONTGA01	AUTO	REN	AUT8090232	TRACA1	2/11/2016	Renew	In Process	1/2/2015
CSR: Bill Posey								
AMTCONS-01	BOP	NEW	BO 43210984	HARIN1	1/12/2011	Endorse/Revise	Submitted	1/12/2011
BATHWA0001	HOME	REN	HMA5607934	HARIN2	12/4/2014	Renew	In Process	1/11/2015
BATHWA0001	HOME	REN	HMA5607934	HARIN2	2/10/2016	Renew	Submitted	1/11/2016
CROWBUI-01	PROP	REN	PR 2309845	TRACA1	2/10/2016	Renew	In Process	1/13/2015
CROWELBO01	PPKG/HOME	REN	PPKG57898718B	21SCE1	10/8/2019	Endorse/Revise	In Process	10/8/2017
DUNSTSC001	AUTO	REN	AU384757809	TRACA1	11/1/2016	Renew	In Process	5/29/2016
L&TGLAS-01	BAUT	REN	B493023112	PROCA1	2/11/2016	Renew	In Process	1/20/2015
PUTNAMAM01	AUTO	REN	PA9085636	ALLPR1	2/11/2016	Renew	In Process	1/20/2015
PUTNAMAM01	HOME	REN	HA34797579	ALLPR1	2/11/2016	Renew	In Process	1/20/2015
STONISL-01	BOP	REN	BP94858696	HARIN1	10/15/2010	Endorse/Revise	In Process	1/24/2011
CSR: Carl Larson								
HURTADBE01	AUTO	REN	PAP39475H	HARIN1	2/10/2016	Renew	In Process	1/3/2015
JUSKAPE001	AUTO	REN	AU7422360	ACEIN1	2/10/2016	Renew	In Process	1/1/2015
RICARDRI01	AUTO	REN	AU7422360810-1	ACEIN1	2/11/2016	Renew	In Process	1/1/2015
CSR: Chris Wright								
BOYERLO001	HOME	NEW	772810482	TRACA1	12/27/2010	New	In Process	1/25/2011
PEPSICO-01	PROP	NEW	PR-0012345	TRACA1	2/16/2016	New	In Process	1/29/2016
PEPSICO-01	GLIA	NEW	GL-0012345	TRACA1	2/16/2016	New	In Process	1/29/2016
CSR: Dana Froumis								
CROWSER-01	CPKG/BAUT	NEW	CPKG 809390	TRACA1	9/30/2010	New	In Process	1/17/2011
CROWSER-01	GVIS	NWQ	GV-00123456	BLUCR1	11/1/2016	Renew	In Process	2/19/2017
CSR: Jan Littell								
HICKMARO01	AUTO	REN	AU33854982	AUTOW1	2/10/2016	Renew	In Process	3/1/2015
CSR: Janet Rucker								
CLARKDO001	AUTO	REN	AU 6548761	TRACA1	2/10/2016	Renew	In Process	1/17/2015

Overdue Activities

Use this report to cleanup old activities, monitor workloads, and review appropriate use of activities, i.e. using the correct workflow activity. Run once per month for regular review or as needed.

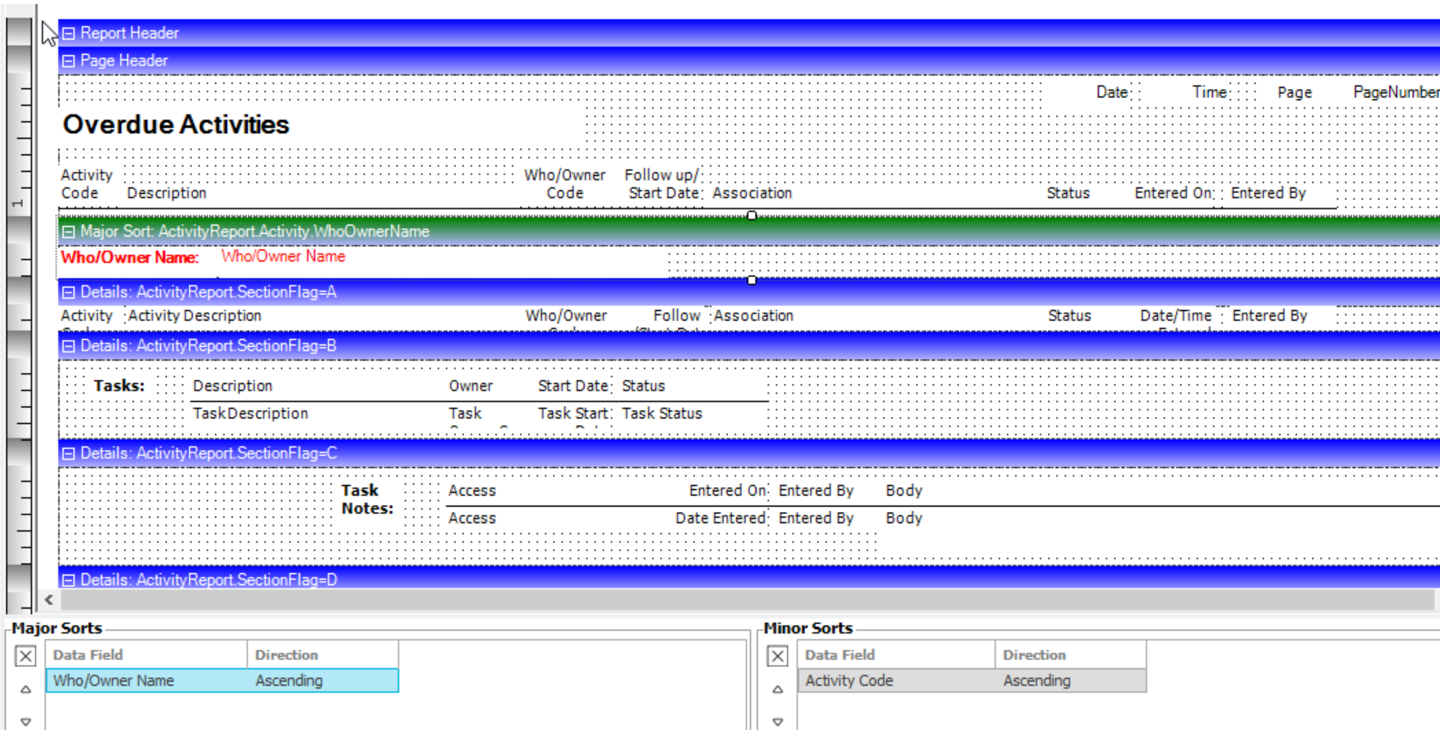
- Use standard Activity Report with Major Sort by Who/Owner
- Exclude Activity Notes and Tasks for a “count” only or include to see recent notes

Criteria

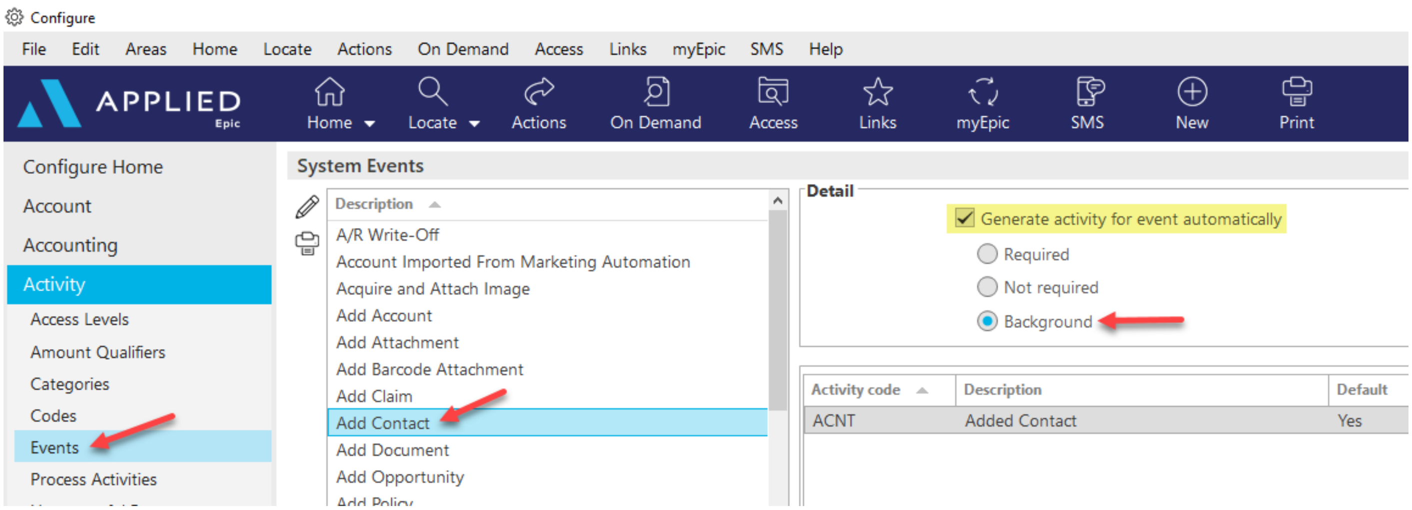
Criteria	Selection
Region	All
Agency	All
Branch	All
Department	All
Profit Center	All
Account Type	All
Account Lookup Code	All
Activity Category	All
Activity Code	All
Who/Owner	All
Follow up/Start Date	Open - 3/19/2020
Status	Selected
Date/Time Entered	All
Entered By	All
Association	All
Activity Notes	Exclude all activity notes
Activity Tasks	Exclude tasks
Parameter Page	Include parameter page
Work Group	All

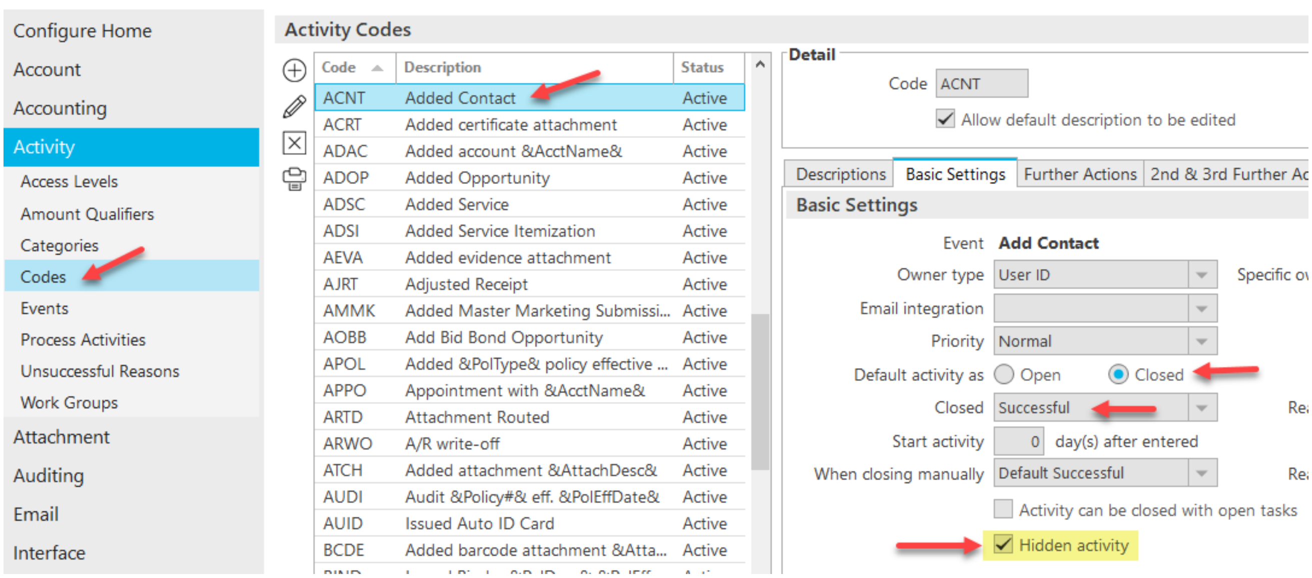
Open to Today's Date

Open Activities



- Alternative use for the report:
    - Run report for Open and Closed Activities if monitoring work by event driven activities
    - Be sure to add the activity to the event and set to Generate activity for event automatically then check the box for Hidden Activity in the activity configuration


Configure
File Edit Areas Home Locate Actions On Demand Access Links myEpic SMS Help
APPLIED Epic
Home Locate Actions On Demand Access Links myEpic SMS New Print
Configure Home
Account
Accounting
Activity
Access Levels
Amount Qualifiers
Categories
Codes
Events
Process Activities
System Events
Description
A/R Write-Off
Account Imported From Marketing Automation
Acquire and Attach Image
Add Account
Add Attachment
Add Barcode Attachment
Add Claim
Add Contact
Add Document
Add Opportunity
Detail
Generate activity for event automatically
Required
Not required
Background
Activity code
Description
Default
ACNT
Added Contact
Yes


Configure Home
Account
Accounting
Activity
Access Levels
Amount Qualifiers
Categories
Codes
Events
Process Activities
Unsuccessful Reasons
Work Groups
Attachment
Auditing
Email
Interface
Activity Codes
Code
Description
Status
ACNT Added Contact Active
ACRT Added certificate attachment Active
ADAC Added account &AcctName& Active
ADOP Added Opportunity Active
ADSC Added Service Active
ADSI Added Service Itemization Active
AEVA Added evidence attachment Active
AJRT Adjusted Receipt Active
AMMK Added Master Marketing Submissi... Active
AOBB Add Bid Bond Opportunity Active
APOL Added &PolType& policy effective ... Active
APPO Appointment with &AcctName& Active
ARTD Attachment Routed Active
ARWO A/R write-off Active
ATCH Added attachment &AttachDesc& Active
AUDI Audit &Policy#& eff. &PolEffDate& Active
AUID Issued Auto ID Card Active
BCDE Added barcode attachment &Atta... Active
Detail
Code ACNT
Allow default description to be edited
Descriptions
Basic Settings
Further Actions
2nd & 3rd Further Ac
Basic Settings
Event Add Contact
Owner type User ID
Specific o
Email integration
Priority Normal
Default activity as Open Closed
Closed Successful
Start activity 0 day(s) after entered
When closing manually Default Successful
Activity can be closed with open tasks
Hidden activity

Policies with No Transactions

Run this report to verify that policies have been transacted. Schedule to be delivered monthly.

- Use the standard report found under Policy reports
- Add CSR to Major Sort
- Add Policy Effective Date to Minor Sort
- Run monthly based on a time period of your choice, ex. Policies effective last 6 months

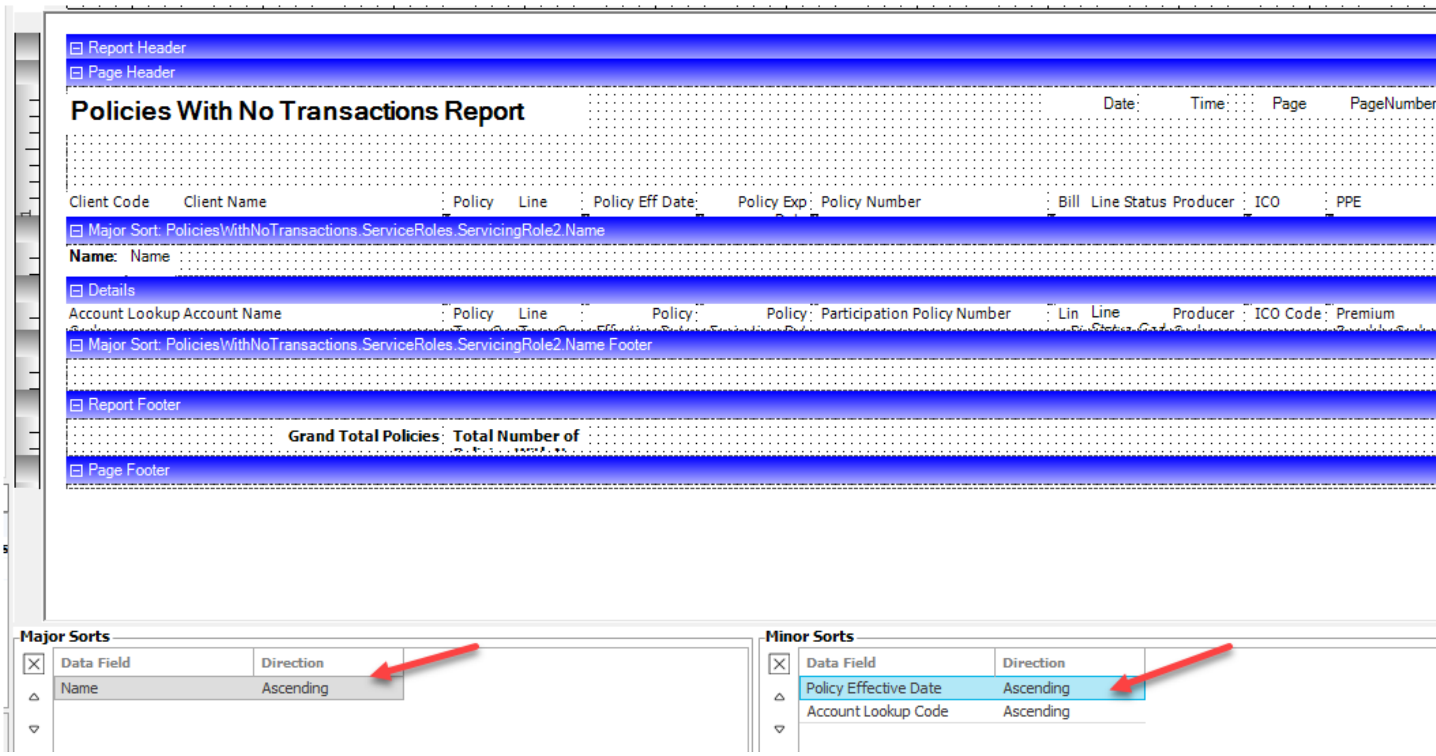
Criteria

Criteria	Selection
Region	All
Agency	All
Branch	All
Department	All
Profit Center	All
Policy Type	All
Line Type	All
Policy Effective Date	System Date -180 days
Policy Expiration Date	All
Line Premium Payable Company	All
Line Premium Payable Broker	All
Issuing Company	All
Line Status	Selected
Line Producer	All
Line Commissionable Broker	All
Lines per Policy	One line per policy
Line Bill Mode	Both
Accounting Month	All
Parameter Page	Include parameter page
Client Service Mgr	All

Select based on the time period you are reviewing

Active policy statuses

Add to filter by CSR



Policies With No Transactions Report 6/8/2020 5:56 PM Page 1 of 1

Client Code	Client Name	Policy	Line	Policy Eff Date	Policy Exp Date	Policy Number	Bill	Line Status	Producer	ICO	PPE
BOBSCON-01	Bob's Construction	GARD	GARD	10/1/2019	10/1/2020	123456	A	NEW	STABR1	TRACA1	TRACA1
CROMCON-01	Cromer Construction	CPKG	GLIA	9/2/2019	9/2/2020	111222333	A	NEW		TRACA1	TRACA1
CROMCON-01	Cromer Construction	CPKG	BAUT	10/9/2020	10/9/2021	CPP 28489135	A	REN	STABR1	CHUGR1	CHUGR1
CROMCON-01	Cromer Construction	CPKG	BAUT	10/9/2020	10/9/2021	CPP 28489135	A	NEW	STABR1	TRACA1	TRACA1

Grand Total Policies 4

Active Accounts with No Active Policies

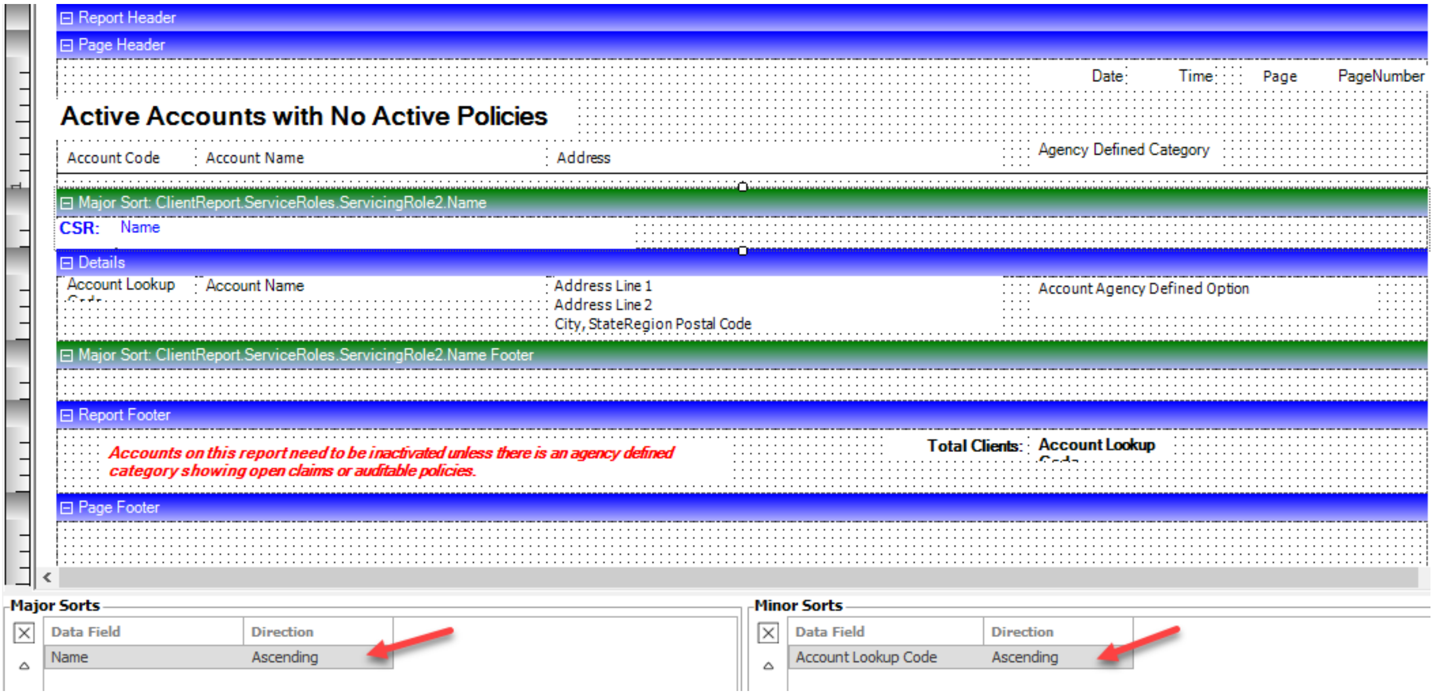
Run this report for cleanup and then for regular monitoring of the inactivate account workflow.

- Check to see if the report is already listed from Epic migration. Listed in Account Reports. If not, then start with Client List Report
- Use agency defined categories or other user defined area to define policies that should not be inactivated yet, i.e. auditable policy or open claims existing
- Schedule for monthly delivery and also add to Report Quick View for CSR to audit themselves

Criteria

Criteria	Selection
Region	All
Agency	All
Branch	All
Account Lookup Code	All
Account Name	All
Client Type	Insured
Agriculture	Both
Benefits	Both
Bonds	Both
Commercial	Both
Financial Services	Both
Life and Health	Both
Other Lines of Business	Both
Personal	Both
Account Status	Active
Inactive Date	All
Inactive Reason	All
City	All
State/Province	All
Postal Code	All
County	All
Country Code	All
Account Agency Defined Options	All
Date Entered	All
Related Account Code	All
Record Listing	Each time found
Parameter Page	Include parameter page
Condition of Policies	No current/renewed policies
Client Service Mgr	All

Add to filter by CSR


Report Header
Page Header
Date:
Time:
Page
PageNumber
Active Accounts with No Active Policies
Account Code
Account Name
Address
Agency Defined Category
Major Sort: ClientReport.ServiceRoles.ServicingRole2.Name
CSR:
Name
Details
Account Lookup
Account Name
Address Line 1
Address Line 2
City, StateRegion Postal Code
Account Agency Defined Option
Major Sort: ClientReport.ServiceRoles.ServicingRole2.Name Footer
Report Footer
Accounts on this report need to be inactivated unless there is an agency defined category showing open claims or auditable policies.
Total Clients:
Account Lookup
Page Footer
Major Sorts
Data Field
Direction
Name
Ascending
Minor Sorts
Data Field
Direction
Account Lookup Code
Ascending

Active Accounts with No Active Policies

Account Code	Account Name	Address	Agency Defined Category
CSR: Anita Otten			
BAUMGAGA01	Garrett Baumgarten	15257 Raintree Dr Orland Park, IL 60462	Brochure - Protecting Your Assets
BAUMGAGA01	Garrett Baumgarten	15257 Raintree Dr Orland Park, IL 60462	Insurance Tips
CROWELBO01	Bob Crowell	1234 Main Road Steger, IL 60475	Auto (w/o Home)
CROWELBO01	Bob Crowell	1234 Main Road Steger, IL 60475	Birthday Gift
CROWELBO01	Bob Crowell	1234 Main Road Steger, IL 60475	Client Referral
EMPIBUI-01	Empire Builders	6300 W Grace St Chicago, IL 60634	Homebuilders Association - Supplemental
EMPIBUI-01	Empire Builders	6300 W Grace St Chicago, IL 60634	Wall Calendar
ODYSCOU-01	Odyssey Country Club	19410 Ridgeland Rd Tinley Park, IL 60477	Holiday Gift
ORTIZAN001	Angela & Robert Ortiz	4550 S Mozart Chicago, IL 60632	Birthday Card
ORTIZAN001	Angela & Robert Ortiz	4550 S Mozart Chicago, IL 60632	Brochure - Protecting Your Assets
ORTIZAN001	Angela & Robert Ortiz	4550 S Mozart Chicago, IL 60632	Employee Referral
ORTIZAN001	Angela & Robert Ortiz	4550 S Mozart Chicago, IL 60632	Holiday Card

Audit Policy Commission Fields

Run this report to verify that important fields are being entered correctly. Review Pr/Br and Pr/Br Commission, Agency Commission, and find whether Estimated Premium/Commission are entered.

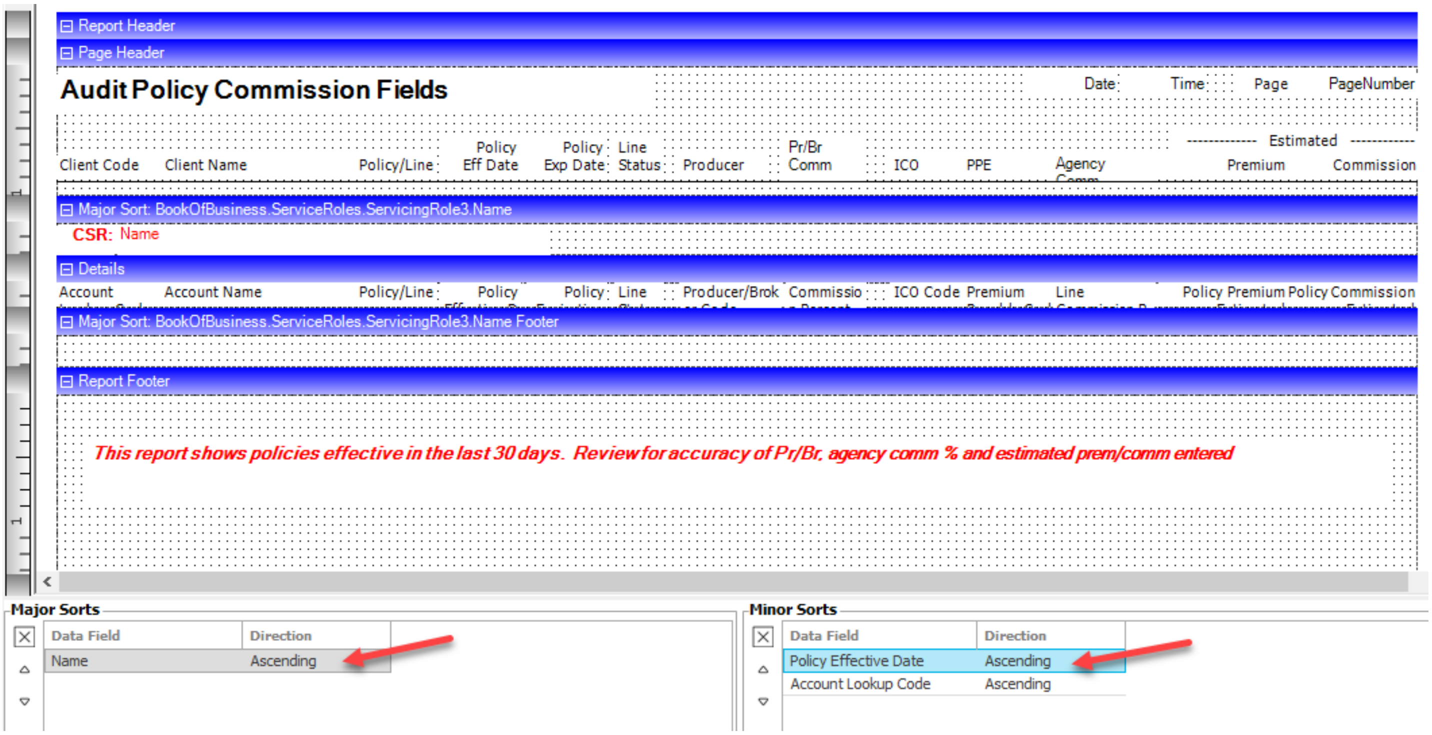
- Start with Book of Business – Policy Book
- Policy Effective Date: System date -30 days
- Add Pr/Br, Agency Comm to the layout of the report. Remove Billed Prem/Comm and change from Annualized to Estimated Prem/Comm

Criteria

Criteria	Selection
Region	All
Agency	All
Branch	All
Department	All
Profit Center	All
Account Lookup Code	All
Client Type	Insured
Policy Type	All
Line Type	All
Policy Effective Date	System Date -30 days
Policy Expiration Date	All
Issuing Company	All
Line Premium Payable Company	All
Line Premium Payable Broker	All
Line Producer	All
Line Status	Selected
Account Status	Active
Prospective/Contracted	Contracted
Policy Premium Billed	All
Policy Premium Annualized	All
Policy Commission Billed	All
Policy Commission Annualized	All
Account Agency Defined Options	All
Parameter Page	Include parameter page
Record Listing	Each time found
Client Service Mgr	All

Active policy statuses

Add to filter CSRs



Audit Policy Commission Fields

6/8/2020 5:00 PM Page 2 of 2

Client Code	Client Name	Policy/Line	Policy Eff Date	Policy Exp Date	Line Status	Producer	Pr/Br Comm	ICO	PPE	Agency Comm	Estimated Premium	Estimated Commission
CSR: Josh Jolley												
CROMCON-01	Cromer Construction	CPKG/EQFL	6/1/2019	10/9/2019	REN	STABR1	15.0000@	CHUGR1	CHUGR1	0.0000%	$475,000.00	$71,250.00
CROMCON-01	Cromer Construction	CPKG/BAUT	10/9/2019	10/9/2020	REN	STABR1	15.0000@	CHUGR1	CHUGR1	10.0000%	$25,000.00	$2,500.00
CROMCON-01	Cromer Construction	GLIA	9/2/2019	9/2/2020	NEW			TRACA1	TRACA1	0.0000%		
CROMCON-01	Cromer Construction	CPKG/BAUT	10/9/2020	10/9/2021	REN	STABR1	15.0000@	CHUGR1	CHUGR1	10.0000%	$50,000.00	$5,000.00
CROMCON-01	Cromer Construction	CPKG/BAUT	10/9/2020	10/9/2021	NEW	STABR1	15.0000@	TRACA1	TRACA1	15.0000%	$50,000.00	$5,000.00

This report shows policies effective in the last 30 days. Review for accuracy of Pr/Br, agency comm % and estimated prem/comm entered

Types of Audits

Procedural Versus Data Audits

- Procedural audits are based on your agency workflows and standards
  - Must be performed manually
  - Information cannot be captured via reports
  - Examples: Naming conventions, attachment placement, policy checked, marketing module use, binders issued properly, etc.
- Data audits are a review of information in Applied Epic, policy documents, binders, proposals
  - Should be performed manually, and some information may be available through reports, but the report does not give you detail that manual auditing provides
  - Examples: Does the proposed coverage match the issued policy and the application in Epic?

Sample Audits

Sample 1 – Outlook Email Management

This agency's procedure is to attach all client related emails in Epic. Any emails that are still in the inbox are filed in sub-file folders. This will reduce the number of unworked emails.

Inbox Emails	
Unread Items in Inbox	
Items over 7 days old not filed	
Items over 60 days old not filed	

Sample 2 – Data Input Audit – Epic Fields

- Review sections of Epic to find whether fields are completed or if they are completed accurately.
- These fields affect the **integrity of your reports**

		Correct – Yes/No
1.	Policy type	
2	Status code	
3.	Policy Number	
4.	Servicing Roles	
5.	Department	
6.	Branch	
7.	Profit Center	
8.	Effective and Expiration dates	
9.	Issuing and Billing Company Codes	
10.	Service Summary Stages	
11.	Agency Commission	
12.	Producer Code & Commission	
13.	Email Address	
14.	Client Contact Information	
15.	Underwriter Information in Contacts	
16.	Estimated Commission	
17.	Estimated Premium	
18.	Agency Defined Codes	
19.	Transaction entered (Agency Bill)	

Sample 3 – Data Input Audit – Policy Data

- Perform data audits by comparing Epic application to the policy, binder, proposal, or quote for **integrity of your policy data**

	Correct	Yes	No
1.	Additional Named Insured(s)		
2.	Vehicles		
3.	Loss Payee(s)		
4.	Symbols		
5.	Liability Limits		
6.	Coverages		
7.	Driver Information		
8.	Garaging Location		
9.	Deductibles		

	Correct	Yes	No
1.	Locations		
2.	Supplemental Names		
3.	Limits		
4.	Exclusions (Officers or Partners)		
5.	Classes and Payrolls		
6.	USL&H, Foreign, or Voluntary Compensation		

Sample 5 – Workflow/Procedure Audit

- In this example, the renewal process is reviewed to find whether the **workflow or procedure** is being followed correctly.

Date	120 Days : Organize Renewal
	Renewal Started (Actions ➔ Renew on policy screen or done in the Marketing Module)
	Proposal/Summary of Insurance - prepared for the producer.
	Renewal Questionnaire - sent to client
	90 Days: Underwriting Information
	Discuss renewal instructions with the producer
	Meeting with client and producer
	Loss Runs
	Experience Mod
	Updated application (drivers, vehicles, locations, certificate holders etc.)
	Update statement of values
	BI/EE Worksheet
	Account Balance
	Flood Zones
	60 Days Out - Quotes
	Loss Summary prepared
	Submit to carriers *(Note: This depends on how early your underwriter will accept submission)*
	30 Days Out
	Follow up for quotes and review for accuracy
	Discuss quotes with producer
	Negotiate with underwriter (premium & commission)
	Prepare proposal and coverage recommendations
	15 Days Out
	Bind with carrier (Note: The proposal, estimated premium, quote, & binder must all matc
	Update policy screens to match what is bound
	Update Certificate Holders and create Master Certificate
	Get Statement of Values and/or BI/EE form signed
	Send Surplus Lines Forms (if applicable)
	7 Days Out
	Enter transaction if agency bill
	Send Binder (Carrier binder if we don't have underwriting authority with this carrier)
	Auto ID cards (if applicable)
	Certificate of Insurance or Evidence of Property (if applicable)
	Finance Agreement (if applicable)
	Verify agency commission
	45 Days Past
	Policy – received, reviewed, and checked
	Policies sent to client
	Close activities

Creating Your Agency Audit

- Start by formatting your data audit template by Client section in Epic
    - Ex. Account Detail, Policy Detail, Contacts, Policies, etc.

DATA INPUT AUDIT

ACCOUNT DETAIL SCREENS:		**Yes**	**No**
1.	Is the branch correct?		
2.	Is the servicing tab (AE, producer 1, A/R Manager) completed?		
3.	Is the invoice and statement type correct?		
4.	Is there an email address entered?		
5.	Are all the contacts added?		
Comments:			

POLICY DETAIL SCREEN		**Yes**	**No**
1.	Are the branch, profit center code, and department correct?		
2.	Is the policy type correct?		
3.	Is the status code correct?		
4.	Is the policy number correct?		
5.	Is the issuing location correct?		
6.	Is the department code correct?		
7.	Are the pay & billing mode correct?		
8.	Are the effective and expiration dates correct?		
9.	Are the issuing/billing company correct?		
10.	Is the line commission entered?		
11.	Is the estimated premium and commissions correct?		
12.	Is the servicing tab complete?		
13.	Is the Pr/Br completed correctly?		
14.	Is the applicant and premises info on the Commercial AP completed?		
Comments:			

APPLICATION / DECLARATION PAGE:		**Yes**	**No**
1.	Are all coverage lines represented with completed applications (including sub-sections)?		
2.	Are the apps signed?		
3.	Are the loss runs in attachments?		
4.	All Vehicles listed on vehicle schedule?		
5.	All Drivers on drivers schedule?		
6.	All Locations on property schedule?		
7.	All Equipment on equipment schedules?		
8.	Limits/Deductibles entered & accurate?		
9.	All loss payees, mortgagees, additional insureds included on application?		
10.	All underwriting and general info complete?		
11.	Are previous apps in history on renewals, rewrites?		
12.			
Comments:			

ACTIVITY CATEGORIES:		**Yes**	**No**
1.	Timely follow ups being made?		
2.	Correct usage of activity codes?		
3.	Was description line used effectively w/ required info and clear descriptions?		
4.	Were activities closed out when completed?		
5.	Are activities updated &/or closed out within agency standards?		
6.	Was correspondence attached to the policy or line is applicable?		
7.	Are ENDT, AUD, CANC, Dec Pages attached?		
9.	Was agency procedure regarding activities followed during quote, proposal, bind, & issuance process?		
10.	Are correct form letters being used (if applicable)?		
Comments:			

Are You Ready To Audit?

Here are the steps you need to take before you're ready to audit:

- Create or standardize your workflows
- Implement those workflows and provide training
- Enforce workflows with auditing and reports

Getting Started

- Decide if you will audit internally or outsource
- Have a plan of action for using the results
- Determine the type(s) of audits needed
- Communicate with your employees

Appendix

Seminar Types:

Management
Training & Staff Development

Seminar Levels:

Intermediate: An Intermediate level class takes the concepts originated from a basic level course, and adds more layers or parallel concepts. For functional courses, these classes will require the participant or attendee to have some basis to work from as they are learning new facets of the agency or brokerage management system or software program.