

**Angelynn Heavener, CIC, CPIA
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Agency E & O Audits

I. Pre-Audit Process

- **A pre-audit questionnaire will be completed by the agency.**
- **Selected organizational materials will be made available to auditor for review upon arrival at agency.**

II. Audit Process

- **Selected staff members will be interviewed.**
- **Random selection of client files will be reviewed.**
- **Agency management will be de-briefed of initial findings upon completion of audit**

III. Post-Audit Process

- **Written report will be provided to insurer and agency with findings and recommendations.**

IV. Interview Process

- **Auditor will meet with management team to discuss their views on the agency's internal operations.**
- **Selected staff will be interviewed to ascertain their understanding of the agency's operations. Staff will include at a minimum selected producers, CSR/CSAs, receptionist, claims personnel and IT personnel.**
- **Interviews will include but not be limited to knowledge of procedures, market availability, workflow processes, knowledge of product sold, etc. Every area of agency operations will be addressed.**
- **During the interview process staff will be asked to show auditor files they are currently working on.**

V. Documentation Review

- Random files will be reviewed for required documentation, standardized filing approach, potential back-log of work, etc.

VI. Written Report

- Report will provided to insurer and agency within a maximum of 30 days. If earlier date is required agency and auditor will agree upon in advance.
- Report will consist of findings and recommendations rated as high, medium or low. This will assist the agency in putting together an Action Plan to accomplish the changes to be made.
- Report will also identify things done well in the agency.

VII. Confidentiality

- All information provided to auditor is confidential.

VIII. Fees

- Fees are based on number of days on site plus reasonable travel expenses. Number of on-site days will be pre-determined by number of staff and number of locations.
- \$1500 – day
- I do not charge for travel time
- All travel fees will be fully disclosed

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