

# E&O

## Risk Management Review

### Agenda

**1.) Meeting with agency principal(s) and management.**

Review agency history, markets, structure  
Discuss agency objectives, specialties, marketing/sales plans  
Discuss management's view of agency's known strengths/weaknesses.  
Review of personnel by department.

**2.) Begin interview process by department**

(All employees are interviewed in the review process)

Department Managers/Supervisors  
Individual departmental staff members:  
    Service staff (CSR & Processor)  
    Claims staff (if separate)  
    Administrative staff  
    Sales staff (Producers)  
    Marketing staff (if separate)

**3.) Review of automation system use/procedures**

Customer file maintenance (includes paper file comparison if applicable)  
Suspense (diary) system  
Customer file documentation, automated notes, etc.  
Customer correspondence  
Forms, letters, proposals, questionnaires (samples of all)  
Reports

**4.) Review administrative, accounting, and clerical procedures**

Review agency Procedures Manual/Personnel Manual/Catastrophe Plan  
Mail processing (incoming & outgoing)  
Phone procedures (includes voice mail/answering machines)  
File maintenance procedures  
Fax procedures  
E-Mail, Internet Procedures, Web Site (if applicable)

**5.) Wrap up meeting with principals and management**

Initial reaction and high level overview of findings.  
Answer questions/discuss issues

**6.) Written report to follow in 30-45 days.**

**7.) Follow up Review performed 6 months following initial Audit.**

**Note: Interviews are workflow and procedures oriented, and cover the processes in place for handling all lines of business through the prospecting, sales, new business, change/service, cancellation, renewal and administrative/clerical processes.**