

# Audit FAQs: User Support and Information

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## **Audit/ Delegated Audit Manager Acronyms**

- AAR/TAAR- Audit Action Review
- AFR/TAFR- Audit Findings Request
- AQC/TAQC- Auditor Quoting Case
- AQR/TAQR- Audit Quote Review
- APC/TAPC- Audit Processing Case
- ASV/TASV- Audit Site Visit
- CAR/TCAR- CAF Audit Rationalisation
- CAI/TCAI- Carrier Audit Invoice
- CFR/TCFR- Carrier Finding and Recommendation
- CAA/TCAA- Coverholder/TPA audit action
- RFI- Request for Information
- MSC/TMSC- Master Scheduling
- LCA- Large Coordinated Audit
- USI/TUSI- Update Scheduling Information
- CAF- Central Audit Function
- SLA- Service Level Agreements
- TPA/DCA- Delegated Claims Administrators

*\*There are two types of audits on DAM, Coverholder and DCA. If a task begins with a “T” – means the task refer to a TPA / DCA Audit.*

## **Audit Site Visit task**

Please note that the ASV/TASV task deadline is 28 days. When Lloyd's escalates an ASV/TASV task, it is because the task is overdue in DAM. However, auditors may see a different deadline on their portal, which includes an additional 30-day window for the Findings Request task. This can give the impression that the task is not overdue, but it is.

To avoid escalation and automated overdue notifications from DAM, auditors should ensure that once audit dates are booked, the ASV/TASV task is updated and submitted promptly to proceed to the next stage.

Additionally, if any error messages appear on the ASV/TASV task, please check that the audit dates entered align with the quarter in which the audit is scheduled. DAM will not allow progression to the Findings Request task if the dates fall outside the designated quarter. If the dates are incorrect, please contact the Delegated Authorities Team at Lloyd's to update the audit quarter in DAM, and notify the relevant Managing Agents of the change.

## **Opting out of coordinated audits**

Managing Agents can opt out of a coordinated audit via their own DAM portal by navigating to:

*Coverholder/TPA Audits > Carrier Oversight*

From the dropdown menu, select the current stage of the audit to access the opt-out option.

If the audit is not visible, the opt-out functionality may sit with either the auditor or Lloyd's, depending on the audit stage:

Scoping– Email Lloyd's Delegated Authorities Team to request opt-out.

Quoting– The auditor can opt out Managing Agents who have not yet provided a quote.

Quote Review– Email Lloyd's Delegated Authorities Team to request opt-out.

Audit Site Visit– Email Lloyd's Delegated Authorities Team to request opt-out.

Carrier Findings and Recommendations - Once an auditor has submitted their findings, Managing Agents can no longer opt out of the audit via DAM. At this stage, if a Managing Agent does not wish to participate, they must complete the CFR/TCFR task by submitting it blank and marking all recommendations as 'No' to proceed. Please note that Lloyd's does not have the functionality to remove a Managing Agent from the audit at this stage.

## **Opting in on coordinated audits**

Managing Agents wishing to opt in to a coordinated audit on DAM should use the opt-in functionality, available on the left-hand side of both Coverholder (CH) and DCA audit screens.

If a coordinated audit is ongoing in DAM but the Managing Agent is unable to opt in, this may be due to one of the following reasons:

- Managing Agents must have a live relationship with the Coverholder registered on DCOM to opt in to a coordinated audit on DAM. Draft binders do not pull through to DAM; all binders must be registered as 'Active' in DCOM. Data from DCOM is refreshed in DAM every Monday morning, which includes updates to binder information. If the relationship is not active in DCOM, the opt-in functionality will not be available on DAM.
- The audit has progressed beyond the quoting stage and is now at the ASV/TASV stage. Once all Managing Agents accept the quote, the ASV/TASV is triggered, and DAM no longer allows additional opt-ins.

In such cases, the Managing Agent will need to contact the auditor directly and proceed outside of the DAM system.

## Transfer broker recommendations

To transfer a broker recommendation in DAM to another broker, Lloyd's requires confirmation directly from the managing agent that they are comfortable with the new broker responding, before we proceed with the transfer.

To transfer a coverholder recommendation to a broker, Lloyd's requires confirmation directly from the coverholder that they are comfortable with their broker responding. The coverholder must also confirm which broker and specify the recommendation(s) to be transferred, before we proceed.

## Cannot locate a task

If a task cannot be located in DAM, it may be that the user is searching in the wrong section. All tasks are accessible from the main homepage.

Within the 'My Work' page, there are two key folders:

Work List – This displays tasks that the user has personally selected to complete. These tasks are only visible to that individual, as DAM permits only one user to complete a task at a time.

Unassigned Cases – This folder shows all tasks that are yet to be assigned and is visible to all users with the same access level. For example, if an audit firm has multiple users, any audit tasks for that firm will appear in the Unassigned Cases list for all relevant users.

If a user wishes to manage and reassign tasks to another user within their organisation, please refer to the Work Management Functionality User Guide, which can be found in the user guides on the top right of the page on your initials.

## Scope task

If a managing agent is unable to locate their UMR(s) within their scope task in DAM, it is likely that the UMR was not registered as live/active on DCOM prior to the scope task being triggered or when the weekly binder data refresh happens every Monday morning.

If a UMR is confirmed to be live on DCOM following the latest data refresh and still does not appear in the scope task on DAM, please raise a ticket with the LIMOSS Service Desk for further investigation.

## **Quarter change**

For a quarter change, any request to change the audit quarter in DAM must be agreed upon by all managing agents participating in the coordinated audit as well as the auditor undertaking the audit. Only the Lloyd's Delegated Authorities team has the functionality to update the quarter in DAM. This action cannot be performed by the managing agent or the auditor. Once confirmation has been obtained from both the auditor and all participating managing agents, please forward this to the Lloyd's Delegated Authorities team so we can update DAM accordingly.

## **Auditor change**

For an auditor change, any request to change the audit quarter in DAM must be agreed upon by all managing agents participating in the coordinated audit as well as the alternative auditor proposed to undertake the audit. Only the Lloyd's Delegated Authorities team has the functionality to update the quarter in DAM. This action cannot be performed by the managing agent or the auditor. Once confirmation has been obtained from both the auditor and all participating managing agents, please forward this to the Lloyd's Delegated Authorities team so we can update DAM accordingly.

## **Atlas access for Auditors**

ATLAS access for auditors is granted by the Lloyd's Delegated Authorities team prior to the audit quarter for Coverholder audits.

For solo audits taking place outside of DAM, we require confirmation from the managing agent that they are comfortable with the auditor being granted ATLAS access. In addition, we will need the following details:

- Coverholder name
- Coverholder PIN/s
- Audit firm name

## **Reports**

**Audit Tracker (CH and DCA)** - Provides a summary of all open, pending, and closed audits on DAM, along with their status.

**Auditor Quality Report (CH and DCA)** - Shows the rating for auditors, where the Managing Agent evaluates the auditor's performance based on the audit.

**Carrier Schedule (CH and DCA)** - Displays all audits that the managing agent has opted in to.

**Findings and Recommendations (CH and DCA)** - Contains all findings and recommendations (open and closed) raised on the system since its inception.

**Final Schedule (CH and DCA)** - Displays the list of all audits selected by the managing agent on DAM, including the final auditor and quarter agreed by all participants.

*Note: This is a static report; therefore, any changes made after the schedule has been finalised will not be reflected. Lloyd's issues an updated schedule to all managing agents quarterly, prior to the scoping task being triggered.*

**Task Management** - Displays all the tasks in DAM (due and overdue) for both coordinated and solo audits for both CH and DCA.

## Toonimo- system guidance

### Interactive Step-by-Step Guidance

Comprehensive, interactive instructions are available to assist you in completing tasks efficiently.

### Accessible Across All Portals

Guidance resources are provided for all portals to ensure a consistent user experience.

### Voice-Assisted Walkthroughs

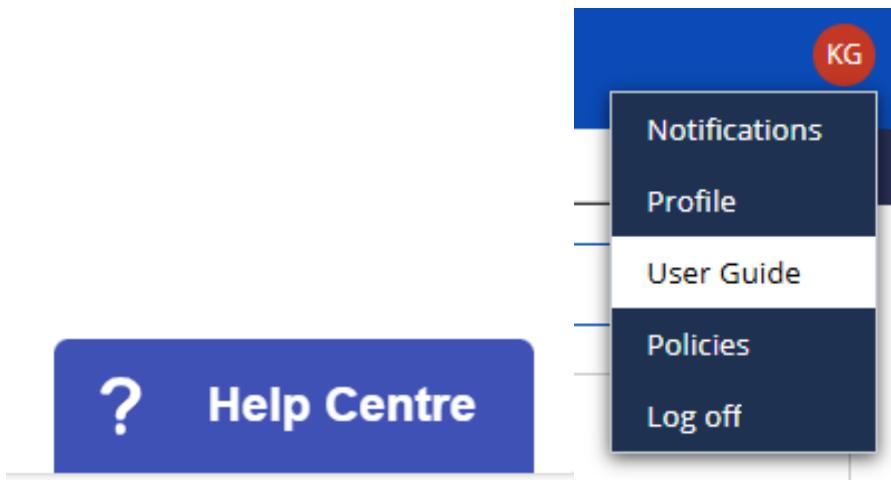
Our interactive guides include voice-over support, walking you through each step of the process.

### User Guides

Detailed user guides are available for reference at any time.

We strongly recommend reviewing these resources before reaching out for additional support.

[Toonimo – Digital Adoption, Amplified](#)



## Annual Scheduling process



**June**  
Auditor RFI  
Process Triggered

**July**  
Markets to review  
and update auditor  
panels

**July**  
Q4 2024 CH and  
DCA Audit Scopes  
triggered (both  
coordinated and  
solo)

**July**  
2024 Audit  
Scheduling Task  
(USI/TUSI)  
triggered