

**COMPLIANCE AUDIT  
EXTERNAL USER GUIDE**



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# 1 Notification to Claim Filers

An automated notification will be sent to inform filers of the claims for injured parties newly selected for audit. The notification will instruct users to access the Verus application’s Compliance Audit Management screen, where users will be able to view the selected claims and submit responses pertinent to the audit request.

## 1.1 Compliance Audit Status

Claims that have been placed into a status of *Compliance Audit* are not subject to any rules, automatic updates, or notification processes beyond those that are specific to compliance audits. Claims in this status will not proceed into the payment process phase until the audit is complete with a *Satisfactory* result. These claims are served only in queues explicitly designed for the compliance audit process.

Claims in this status will display the following message: *“This claim has been selected for audit. Edit and update features are extremely limited.”*

## 1.2 Audit Status and States

AUDIT STATE	AUDIT STATUS	DEFINITION
Pending	Awaiting Response	Initial response outstanding
Pending	Undergoing Review	Initial/supplemental response or Executed Management Representation Letter under review
Satisfactory	Awaiting Response	Satisfactory Notification sent - download Management Representation Letter
Satisfactory	Undergoing Review	Executed Management Representation Letter submitted for review
Unsatisfactory	Awaiting Response	Unsatisfactory Notification sent - submit documentation/written response in reply to audit observations or download Management Representation Letter if the observations are accurate.
Unsatisfactory	Undergoing Review	Response to audit observations or Executed Management Representation Letter submitted for review
Satisfactory	Complete	Audit process is finalized. Claim has been placed back into previous status.
Unsatisfactory	Complete	Audit process is finalized. Claim has been placed into a withdrawn status.

## 2 Viewing Claims in the Audit Process

The main view to see claims that have been selected for audit is by accessing the Compliance Audit Management page. This screen is accessible through the *Compliance Audit* link that appears under the *My Application Tools* heading of the application homepage's navigation menu. Users must possess the required account permission to access this screen. This permission is a default right of the Law Firm Administrator role and optional right for Law Firm Processors.

Search for Specific Role Details:

Right Name	Description	Role Information
Compliance Audit Management	compliance audit Management screen access	Law Firm Processor , Claim Manager , Law Firm Administrator

### 2.1 Audit in Progress

The Compliance Audit Management page displays all claimants that are in a status of *Compliance Audit*. Each claimant row can be expanded to show the claim(s) affecting that particular injured party.

Available grid features:

1. Apply filters to narrow the displayed results
2. Sort the grid data by clicking on individual column headings
3. *Export to Excel* allows the data displayed to be exported. When executed, the data will be formatted to coincide with any filters and sorting filters applied

Compliance Audit Management

Claims identified in the interface below have been selected for review prior to payment in accordance with the claims audit program adopted under the distribution procedures of the participating bankruptcy trust. For more information regarding the terms of the of the claims audit program, please visit the governing documents section of the web site of the participating bankruptcy trust. Links to these sites are available on this application's [home page](#) under the "Trust Documents" heading.

For questions about or assistance with the usage of this screen, please contact support@verusllc.com.

Audit in Progress    Audit History

Use this tab to view and interact with claims which are currently involved in an active audit. Use the "Respond" button to upload documentation to claims whose review is pending or to submit a Management Representation Letter to claims whose review has been completed.

[Export To Excel](#) 3

Injured Party	SSN	Law Firm	Date	Audit Status	Review State
<input type="text"/>	<input type="text"/>	All	<input type="text"/>	All	All

The grid contains two columns indicating the disposition of each selected claimant, *Audit Status* and *Review State*. The former indicates the current evaluation result for a given claimant, and is a function of the combined audit results for the claims selected for that party. The *Review State* column indicates who is responsible for taking action on a given audit selection.

#### Audit Status:

- *Pending* - claimants whose claims have not yet been reviewed by an internal auditor
- *Unsatisfactory* or *Satisfactory* - claimants whose claims have completed the internal review process and have had the results of that review reported to the claim filer via electronic notification.

#### Review State:

- *Awaiting Response* – action from the claim filer is required
- *Undergoing Review* – internal review is in progress
- *Complete* - Final results have been reported back to the filer as Unsatisfactory or Satisfactory. An executed Management Representation Letter has been reviewed and accepted. Audits with *Satisfactory* audit results have been returned to their previous status. Audits with *Unsatisfactory* results have been placed into a *Withdrawn* status.

## 2.2 Audit History

A record of claimants with a Review State of *Complete* will be preserved on the *Audit History* tab of the Compliance Audit Management page. The same general features that are available on the *Audit in Progress* tab (sorting, filtering, expanding a record to view underlying claims, and exporting the grid contents to Excel) are also available.

### Compliance Audit Management

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For questions about or assistance with the usage of this screen, please contact [support@verusllc.com](mailto:support@verusllc.com).

Audit in Progress   **Audit History**

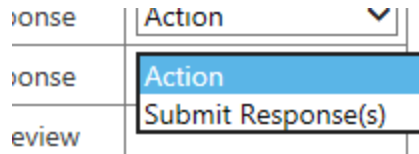
Results from past audits are displayed in the grid below.

[Export To Excel](#)

Injured Party	SSN	Law Firm	Date	Audit Status	Review State
<input type="text"/>	<input type="text"/>	All	<input type="text"/>	All	

### 3 Providing Responses

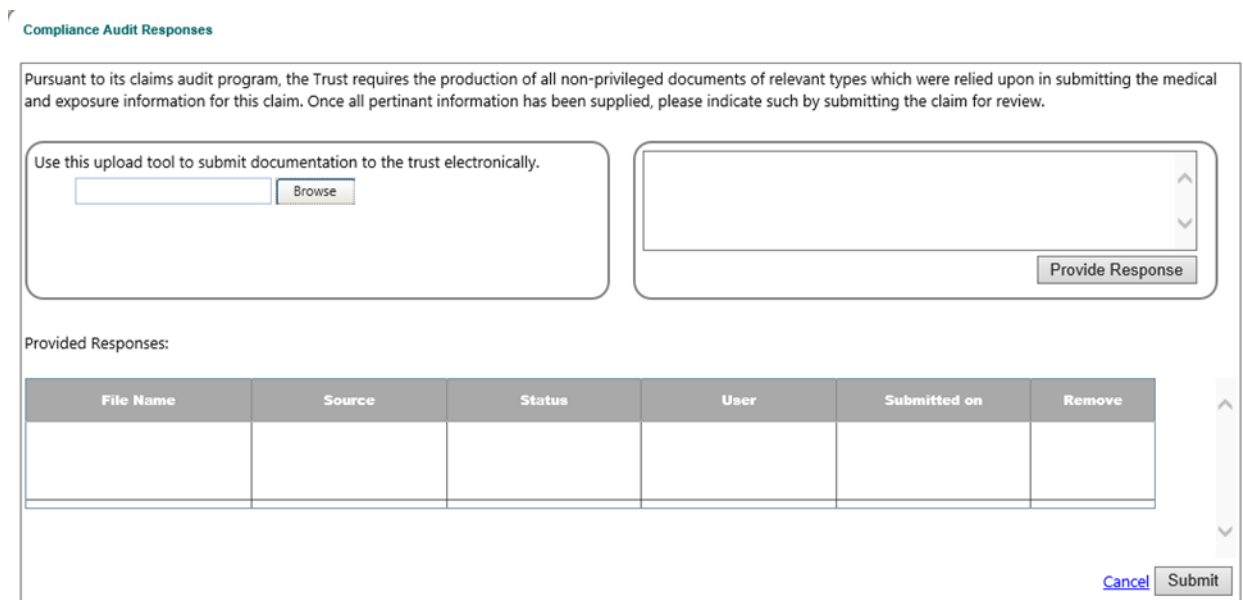
Audit responses (initial/supplemental response and executed Management Representation Letters) are submitted via the *Action Menu* which is available for claimants with an Audit State of *Awaiting Response*.



Responses can also be uploaded by accessing the Audit Tab in the claim form for an injured party and selecting the link *Submit Response*.

#### 3.1 Response Interface

The Compliance Audit Response interface appears when the *Submit Response(s)* action is selected:



This interface gives the user the ability to upload new documents or to provide a response via plain text. The *Provided Response* grid displays all documents associated with the injured party – claim documents and audit responses.

All claim documents for the injured party being audited will automatically appear in the *Provided Response* grid. For Cross-Trust audits, all documents that have been provided to any claim for that injured party in any of the Participating Trusts automatically appear in the *Provided Response* grid. The *Source* will either reflect the name of the Trust the claim document originated or *Audit Response*.

### 3.2 Document Responses

The most common and anticipated form of Audit Response will be a document.

Document responses are uploaded by clicking on the *Browse* button in the appropriate section of the response interface. This will permit the user to navigate their network for a file to submit, which must be in a PDF format.

Once transferred, the uploaded file should display in the *Provided Responses* grid with a status of *Uploaded*:

This response can be viewed or removed prior to submitting the responses for processing.

The screenshot shows a web interface titled "Compliance Audit Responses". At the top, there is a paragraph of text: "Pursuant to its claims audit program, the Trust requires the production of all non-privileged documents of relevant types which were relied upon in submitting the medical and exposure information for this claim. Once all pertinent information has been supplied, please indicate such by submitting the claim for review." Below this text is a section for uploading documents. It contains a text box with the instruction "Use this upload tool to submit documentation to the trust electronically." and a "Browse" button. To the right of this section is a large text area for the response, with a "Provide Response" button at the bottom right. Below the upload section is a "Provided Responses:" section containing a table with the following data:

File Name	Source	Status	User	Submitted on	Remove
Audit Response. PDF	Audit Response	Uploaded	mtesta	2/5/18	X

At the bottom right of the interface are "Cancel" and "Submit" buttons.

### 3.3 Written Responses

In lieu of (or in addition to) uploading documentation, a claim filer may elect to respond to an audit request in writing. This is accomplished through the same response interface, in the section specific to providing written responses.

After a user types in their response and presses the *Provide Response* button, the response will be automatically generated as a PDF, which appears in the response grid.

This response can be viewed or removed prior to the submitting the responses for processing.

### 3.4 Submitting Responses

The uploaded file (document and written responses) will remain in a status of *Uploaded* until the *Submit* button is selected. This action will set the Audit State of the claim to *Undergoing Review* and change the Audit Status of all uploaded responses to *Submitted*.

Until the time a response is SUBMITTED, users are free to close and return to the Compliance Audit Response Screen as many times as they wish, and even upload additional files with each visit. It is also possible to remove any previous uploads by clicking the *Remove* icon in the *Provided Response* grid. **Responses cannot be removed after they are SUBMITTED. Audit Responses will not be sent to Verus for internal review until responses are SUBMITTED.**

## 4 Audit Review Outcomes and Notifications

Notifications of audit outcomes will be prepared on a nightly basis and issued to the Law Firm Administrator with an active account in any of the trusts associated with the claims being audited for a given injured party.

At the time the notification is issued, depending upon the result of the internal audit review, the claim's Audit Status will show as *Satisfactory* or *Unsatisfactory* and its Audit State will change to *Awaiting Response*.

### 4.1 Satisfactory Outcomes

Claims with no material observations made during the initial review phase will show an Audit Status of *Satisfactory*.

Filers of these claims must download and submit a properly executed Management Representation Letter to complete the audit process.

If the overall outcome for the audit remains *Satisfactory*, once the executed Management Representation Letter review is completed, then the claim's status will change from *Compliance Audit* back to its prior status, and the injured party's Audit State will change from *Undergoing Review* to *Complete*.

### 4.2 Unsatisfactory Outcomes

Claims with audit observation made during the initial review phase that could potentially affect the qualification of one or more claims included in the audit process for this injured party have an Audit Status of *Unsatisfactory*. These claims may require additional communication with the filer prior to proceeding through the audit process.

Audit findings are detailed on the *Audit Tab* in the claim form. Filers can provide new information (document/written response) in an attempt to resolve the noted concern.

If the newly provided information sufficiently addresses the noted observation, the Audit Status will show as *Satisfactory* and a *Notice of Satisfactory Audit Outcome* will be sent.

If the filer agrees the findings affect the qualification of one or more claims included in the audit process or the newly provided information does not sufficiently address the noted observation, the Audit Status will remain as *Unsatisfactory*. An executed Management Representation Letter is required and can be downloaded via the Action Menu on the Compliance Audit Management page. Once the Management Representation Letter review is completed, the affected claim(s) status will change from *Compliance Audit* to *Withdrawn* and the Audit State to *Complete*.

### 4.3 Completion of the Audit Process

A final notification will be issued for all claimants that complete the audit process, regardless of the review outcome. These notifications are issued to the Law Firm Administrator with an active account in any of the trusts associated with the claims being audited for a given injured party.