

AUDIT CHECKLIST

In order to allow KPMG LLP to further evaluate your application for membership, you will be required to send KPMG the following information, once your application has been forwarded to them for the compliance audit process.

To help ensure a smooth application process, it is recommended you have the following information available **before submitting** your application to TPAAC. KPMG will contact you directly when they are ready for you to submit the required information.

Where a certain document or information does not exist or is not available, you will be required to provide an explanation. You are only required to provide written description of processes and documentation manuals as outlined below, not the actual document or process manual.

- (1) Example of customer contract/agreement.
- (2) Documentation supporting the existence of a company disaster recovery plan.
- (3) Written documentation describing client/insurer funds reconciliation procedure, with current example reconciliation document.
- (4) Written summary describing third party funds segregation procedures, with supporting current banking documentation relating to one such fund balance.
- (5) Written documentation describing accounting records retention policies (length of time held and location, with detail by document type if the policy varies).
- (6) Written policy regarding retention and destruction of plan member documents.
- (7) Written documentation describing administration and data processing procedures for benefits administration, as well as the program for employee training (if applicable).
- (8) Written documentation describing administration and data processing procedures for pension administration, as well as the program for employee training (if applicable).
- (9) Written documentation describing administration and data processing procedures for claims administration, as well as the program for employee training (if applicable).
- (10) Provide contact information to allow KPMG to directly confirm that the following specialists are consulted by the company when required for claims adjudication, if necessary: Dental Consultant, Medical Consultant, Rehabilitation Consultant, and Paramedical Consultant.
- (11) Copy of company privacy guidelines.
- (12) Contact information - KPMG will require the following contact information to enable them to speak directly with your company accountant: Name, Title, Telephone number, and Email address.

Please note that all documentation provided to KPMG will be kept confidential, and will not be provided to TPAAC.

All audit documentation must be provided to KPMG within six months of receipt of your application by TPAAC. If required documentation is not supplied to KPMG within this time frame, your application shall automatically be denied at the expiry of the six month period.