

**CrimeSHIELD™ Policy**  
**THIRD PARTY ADMINISTRATOR QUESTIONNAIRE**



NAME OF INSURED: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

DATE: \_\_\_\_\_

1. Do you have an annual examination by an outside CPA?  Yes  No
  - a. If Yes, is your exam a:
    1. compilation?
    2. review?
    3. opinionated audit?
  
2. Is there an internal audit function in place?  Yes  No
  - a. If Yes, size of audit staff: \_\_\_\_\_
  
3. Do clients audit you to the extent of the service you provide them?  Yes  No
  - a. How is the audit performed? \_\_\_\_\_
  - b. How frequently? \_\_\_\_\_
  
4. Do your duties include the collection of premium or other money for your clients?  Yes  No
  
5. If you do collect, indicate the following:
  - a. Maximum amount/client/month \_\_\_\_\_
  - b. Average amount/client/month \_\_\_\_\_
  
6. How often do you remit premium collections to your clients? \_\_\_\_\_
  
7. Do any clients sweep money from your account(s)?  Yes  No
  - a. If Yes, how often? \_\_\_\_\_
  
8. Are premium payments sent directly:
  - a. to you?
  - b. to a bank lock box?
  
9. Is accounting centralized?  Yes  No  
How often do your clients audit your premium collection process? \_\_\_\_\_
  
11. Have you ever had any shortages in the customer premium accounts?  Yes  No
  - a. If Yes, please explain: \_\_\_\_\_  
\_\_\_\_\_
  
12. Are receipt of premium payments, recording of and making deposits, and account reconciliation segregated amongst different employees?  Yes  No
  
13. Do you handle/process claims for clients?  Yes  No
  - a. If Yes, what type of claims do you process? \_\_\_\_\_  
\_\_\_\_\_
  
14. In what other areas, excluding premium collection and claim settlement, do you handle client funds?  
\_\_\_\_\_  
\_\_\_\_\_

15. Do your clients use an impress or "0" balance fund (i.e. client replenishes the account after reconciling payment made to the claimant by you)?  Yes  No
16. Do you have a claims handling and procedures manual? If Yes, please provide a copy.  Yes  No
17. What is your dollar authority level for claims settlement? \_\_\_\_\_  No  
 a. What procedures are followed for amounts over your authority? \_\_\_\_\_  
 \_\_\_\_\_
18. What are the dollar authority levels for your staff? \_\_\_\_\_  No  
 a. Who reviews claim settlement and related dollar authority levels for compliance? \_\_\_\_\_  
 \_\_\_\_\_
19. Who issues checks? \_\_\_\_\_  No
20. Is countersignature of claims and other checks required?  Yes  No  
 a. If Yes, what is the limit? \_\_\_\_\_  
 b. Who signs? \_\_\_\_\_
21. Are claims handling reports prepared for use by:  No  
 a. You?   
 b. Clients?   
 c. How often for each:  
 1.) You: \_\_\_\_\_  
 2.) Client: \_\_\_\_\_
22. Are closed and reserved claims segregated?  Yes  No
23. Are there special procedures in place to allow payment against a closed or reserved file?  Yes  No  
 a. If Yes, what are they? \_\_\_\_\_  
 \_\_\_\_\_
24. Does each client company do a random spot check of claim settlements with its customers?  Yes  No  
 a. If Yes, how often? \_\_\_\_\_
25. Does the person who investigates or reviews the claim also have claim settlement authority?  Yes  No
26. What procedures are in place to guard against:  
 a. Payment of fictitious claims? \_\_\_\_\_  
 \_\_\_\_\_  
 b. Double payment of claims? \_\_\_\_\_  
 \_\_\_\_\_

Completed by \_\_\_\_\_

Title \_\_\_\_\_