



SSAE 16/SOC 1 REPORT

October 16, 2015

Carl Warren has received a clean service organization audit report for the past 7 years.

What is the SOC reporting framework?

Prior to June 30, 2011 Service Organizations obtained audits under the Statement on Auditing Standards (SAS) No. 70 reports. Effective for periods ending June 30, 2011, the American Institute of Certified Public Accountants (AICPA) developed the Service Organization Controls (SOC) reporting framework, replacing the SAS No. 70 audits.

The current SOC reports are prepared in accordance with Statement on Standards for Attestation Engagements (SSAE) No. 16. The SOC 1 report that Carl Warren undergoes on an annual and/or bi-annual basis is conducted by an outside independent auditor and provides information about the information technology general control activities and claims management processes of Carl Warren.

What are the benefits of having a SSAE 16 audit performed?

- It allows our Company to provide claims management services to both the public and private sectors. Today, the majority of organizations choose to use a SSAE 16 qualified provider as it is one of the ways to give both the organizations and investors assurance over controls related to processes performed by a third party rather than the organization in question.
- Both public and private companies are more likely to trust our organization with their data.
- We have a third-party reviewing controls and activities to ensure they are functioning appropriately and they can provide advice on how to improve upon them.
- Helps improve performance at Carl Warren.

The following claims management control activities are monitored:

- Client Setup
- Claims Processing (Receipt, Entry, Adjudication, Payment)
- Client Trust Account Management
- Client Output and Reporting
- Client Billing

The following information technology control activities are monitored:

- Application Implementation and Maintenance
- System Implementation and Maintenance
- Physical Security and Environmental Controls
- Logical Access

Carl Warren is an employee-owned Third Party Claims Administrator with 29 locations nationwide and specializes in liability, workers' compensation, and property claims management and subrogation.

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