

FSPITS17 - SQA Unit Code H699 04

Undertake a quality audit of insurance casework within your area of responsibility



Overview

This unit is about auditing individual insurance cases to determine whether work is being carried out to legal, regulatory and organisational requirements. Sometimes referred to as 'dip sampling', this involves reviewing a representative sample of cases on a regular basis, recognising good practice and addressing unacceptable or poor case-work.

This involves undertaking diligent investigation and review, acting within the limits of your authority, and ensuring that you comply with, and that others comply with, legal requirements, industry regulations, organisational policies and professional codes.

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Performance criteria

- You must be able to:*
- P1 Monitor and review the progress and quality of cases on a regular and fair basis against the standard or level of performance expected
 - P2 Ensure that a representative and appropriate number of cases are reviewed
 - P3 Obtain sufficient and valid information to enable you to evaluate accurately whether cases are being progressed to the standard or level of performance required
 - P4 Check that all relevant case documentation is complete
 - P5 Check that any corrective actions agreed in relevant previous reviews have been acted upon, where appropriate
 - P6 Recognise successful progress and completion of cases by individuals
 - P7 Provide relevant information regarding good performance in meeting the standards to the appropriate manager(s) so that recognition might be passed on to the individuals responsible
 - P8 Support individuals in identifying and dealing with problems and unforeseen events
 - P9 Identify unacceptable or poor performance in progressing cases, and provide relevant information to the appropriate manager(s) so that the individual(s) responsible might discuss cause(s) and ways of improving performance with their manager(s)
 - P10 Bring any problems which pose a serious or immediate risk to the organisation promptly to the attention of the relevant person
 - P11 Arrange for the information collected in the review of cases to be used to inform any formal appraisals of the relevant individuals' performance
 - P12 Report the outcomes of your audit of cases to those who need to know and within agreed timescales
 - P13 Keep complete records of your audit of cases, and make these available to authorised people

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Knowledge and understanding

You need to know and understand:

General knowledge and understanding

- K1 Effective ways of monitoring the progress and quality of the work of individuals regularly and fairly against the standards or level of expected performance
- K2 How to provide prompt and constructive feedback to individuals
- K3 Why it is important to identify unacceptable or poor case-work by individuals
- K4 The types of problems that may occur and which could affect the progress of case-work, and how to support individuals in dealing with them
- K5 The additional support and/or resources which individuals might require to help them progress their case-work, and how to assist in providing this

Context specific knowledge and understanding

- K6 Your organisation's requirements relating to the application of codes, laws and regulatory requirements, including ethical standards and health and safety, as they impact on undertaking audits of insurance casework within your area of responsibility
- K7 Your organisation's case-work processes and procedures
- K8 The standards or levels of performance expected of case-work within your organisation
- K9 Those managers to whom the performance of individuals should be reported, be it good or poor, as identified through the audit process
- K10 Your organisation's performance appraisal process
- K11 The services and products addressed by the case-work being audited
- K12 The limits of your authority and the actions required where these limits are exceeded

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Additional Information

Behaviours

You must demonstrate that:

1. You show integrity, fairness and consistency in decision-making
2. You show respect for the views and actions of others
3. You make time available to support others

Links to other NOS

‘Signposting’ other relevant NOS

There is a close relationship between these NOS and the NOS for General Insurance, which have been developed separately by the Financial Skills Partnership (formerly Financial Services Skills Council). These can be accessed via www.financialskillspartnership.org.uk

In addition, the Sector Skills Body, Skills CFA, have developed NOS which include the competences required for leadership and management, as well as customer service. The website address for Skills CFA is www.cfa.uk.com

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Developed by Financial Skills Partnership

Version number 1

Date approved November 2012

Indicative review date November 2015

Validity Current

Status Original

Originating organisation Financial Skills Partnership

Original URN FSPITS17

Relevant occupations Finance

Suite Insurance Technicians / Supervisors

Key words Audit; audits; audits of insurance; claim; claimant; claims; dip sampling; insurance; insurance cases; insurance cover; insurance claims; insurance policy; policies; quality audit; risk; uninsured