

WIP Template Fields

Column	Header	Description
A	Audit ID	<ul style="list-style-type: none"> State will provide ID to vendor to include on the WIP Report
B	Vendor	<ul style="list-style-type: none"> Vendor inputs their firm name
C	Holder	<ul style="list-style-type: none"> Name of Holder under audit
D	Project	<ul style="list-style-type: none"> Scope (i.e., Full Scope, GL, Securities)
E	FEIN	<ul style="list-style-type: none"> Holder's Tax Id
F	Last Activity Date	<ul style="list-style-type: none"> Vendor inputs the most recent activity with the Holder
G	Status	<ul style="list-style-type: none"> High-level audit status See <i>Audit Statuses Associated with WIP Report</i> in the table below
H	Holder Advocate	<ul style="list-style-type: none"> KAPS ID of any advocate assigned to exam State will provide vendors list of Holder Advocates with corresponding ID
I	Legal Representative	<ul style="list-style-type: none"> KAPS ID of any legal rep assigned to exam (on the Holder side) State will provide vendors list of Legal Reps with corresponding ID
J	Audit Approved	<ul style="list-style-type: none"> Vendor inputs the date the audit starts or is "approved" by the State Audit status is 'Audit in Process' when step is open and passed
K	Opening Conference	<ul style="list-style-type: none"> Vendor inputs the date of the opening conference Audit status is 'Audit in Process' when step is open and passed
L	NDA	<ul style="list-style-type: none"> Vendor inputs the date the NDA is signed by the Holder Audit status is Audit in Process when step is open and passed
M	Initial Records Delivered	<ul style="list-style-type: none"> Vendor inputs the date the first set of records is received Audit status is Audit in Process when step is open and passed
N	Most Recent Records Delivered	<ul style="list-style-type: none"> Vendor inputs the date of the most recent delivery of records from the Holder Audit status is Remediation Pending when step is closed
O	Percentage of Audit Completed	<ul style="list-style-type: none"> Vendor inputs the percentage of the audit that has been completed
P	Preliminary Findings / Remediation	<ul style="list-style-type: none"> Vendor inputs the date that preliminary findings are presented to the Holder (remediation complete) Audit status is Pending Due Diligence when step is closed
Q	Final Findings Presented	<ul style="list-style-type: none"> Vendor inputs the date that the final findings are presented to the Holder (due diligence complete) Audit status is Audit Findings Issued when step is closed

R	Report Uploaded	<ul style="list-style-type: none"> • Vendor inputs the date the NAUPA report is uploaded to the State’s Website • Audit status is <i>Audit Findings Issued</i> when step is open and
S	Funds Delivered	<ul style="list-style-type: none"> • Vendor inputs the date the findings are remitted to the State • Audit status is <i>Audit Findings Issued</i> when step is open and
T	Audit Closed	<ul style="list-style-type: none"> • Vendor inputs the date the audit is closed • Audit status is <i>Audit Closed</i> when step is passed
U	Notes	<ul style="list-style-type: none"> • Freeform field for vendor to enter up to 2,000 characters of notes pertinent to the audit

Audit Statuses Associated with WIP Report

Status	Description
Audit in Process	Audit is in process with the vendor
Remediation Pending	Preliminary findings have been sent to the Holder; they must complete any required due diligence
Pending Due Diligence	Preliminary findings have been sent to the Holder; they must complete any required due diligence
Audit Findings Issued	Due diligence period has expired, and vendor has issued final findings to the Holder
Audit Closed	Report and Remittance have been sent to the state and verified by the vendor