

Preparing Staff For an Audit

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Preparing for the audit

- If possible, request an audit when taking over a program, creating a “clean slate” for you as the new “owner” of the program
- Be organized with records
- Ability to access tickets, reports easily
- Policy & procedures should be current
- Staffs understanding of current policies

Audit Areas

- Written Procedures; Ordering; Inventory; Issuing; Controls for areas such as:
 - Tickets
 - Validations & coupons
 - Meters
 - Cash handling
 - Enforcement
 - Adjudication
 - Payroll

Preparing Staff for the audit

- AVOID....“Why do you do it this way?..Because that is how John told me to do it...”
- Review any recommendations since any audits in the past; whether internal or external
- Have the recommendations been implemented? Why and Why not?

Reaction of Staff to the Audit

- Feeling of personal attack
- Staff who “hoard” information
- Information is Power
- Guilt (if not doing things the right way)
- Anger and Annoyance of disruption of normal business day and having to cooperate

Preparing Staff for the Outcome

- There will be issues
- “We are here to make the operation better, not get you fired...”
- It will make the operation better
- “You only do what you were trained to do...”
- Review findings, regular meetings to address
- With each issue; change/update policies to coincide with findings
- Acceptance, we’re all in this together as a team