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**Departmental Self Audit and
Managing Audits**

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Background

Focus

- Research Enterprise Vs. Clinical and Operating Margin

Relationship

- Central Office, Division and Departments

Roles

- Titles, Job duties

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Background

Environment

- Recent F.6b Audits
- Regulatory framework and increasing accountability
- Internal resources

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What the Division wanted?

Divisional Initiative

- Resource for departments
- Role in managing expectations and relationships
- Objective advocate
- Self assessment
- Departmental compliance audits

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What we did?

Departmental Self Audits

- Methodology and approach
- Audit calendar
- Communication
- Divisional engagement

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What we did?

Departmental Self Audits

- Proposals
- Effort reporting
- Personnel and other direct cost
- Departmental practices – direct charging
- Justifications and interviews

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What we found?

Departmental Self Audits

- Knowledge gaps
- Process gaps
- Misplaced / Mismanaged expectations
- Resource considerations
- Need for training and education
- And some other things!

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Enter Compliance

Risk management

- Exposure
- Manage information exchange
- Engagement letter
- Shift from informal to formal approach

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Where things stand?

Risk management

- Now part of Institutional Compliance Plan
- Engagement is formal
- Written reports, responses & corrective action plans
- Changing perspective and shifting ownership
- Institutional and central office practices adequately support compliance with federal regulations
- Recent institutional audit had no recommendations

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Managing Audits

- Types of audit
- Prior audits
- Management response
- Take the audit seriously

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Managing Audits

- Prepare for the audit
- Institutional team and functional areas
- Identify primary liaison
- Plan to manage the auditors and the audit

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Managing Audits

- Expect an entrance conference
- Seek clarification on scope of audit
- Establish protocol for communication and information exchange
- You may know more than the auditor
- Be professional / No personal agendas
- Outline and manage expectations



Managing Audits

- Be open and honest
- Expect an exit conference
- Discuss the audit experience
- Draft report
- Management response
- Share findings, responses and corrective action plans
- Execute plans and measure outcomes



Thank you

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