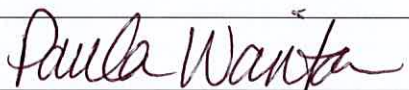


Catholic Charities Disabilities Services	
Agency Standard and Procedure	
Standard Category	Administration
Standard Title	Reporting Audit Information
Regulations	
Original Issue Date	06/15/2009 10/05/2009
Latest Revision Date	07/09/2014 03/09/2023 5/19/2026
Number of Pages	2
Attachments	
Approved by: Paula Warika, Executive Director	

Standard:

All agencies of Catholic Charities of the Diocese of Albany will report scheduled and unannounced audit information to the Corporate Compliance Officer, Catholic Charities fiscal office, or other internal departments as requested.

Procedure:

The Quality Assurance Department is the lead and repository for all program related audits. The Fiscal Department is the lead and repository for all fiscal audits. The basic procedures to be followed include:

- a) If the person first notified of the audit is not the Director of either of the above departments, the respective Department Director or designee will be notified.
- b) It is the responsibility of the Director or designee to notify the Executive Director or designee and the Quality Assurance Department and begin notifying others who have a role in participating in the audit. It is the responsibility of the Director of Quality Assurance or designee to notify the Corporate Compliance Officer of Catholic Charities of the Diocese of Albany.
- c) While the specific program staff may be on-site with the information, the QA Director or designee monitors the progression of the audit and attends the exit conference along with the other program staff. If the program participants are having difficulty with the audit, the Director/designee will go on-site to assist.
- d) The Director of Finance or designee is the main liaison for fiscal audits and advises other administrative units of what documents will be needed for the audit.
- e) If a Statement of Deficiency is issued for a program audit the Executive Director or designee is the first recipient and then shares with the parties involved.
- f) The Director of Quality Assurance or designee prepares and signs the response (Plan of Corrective Action) after working with the respective departments who are responsible for implementing corrective action.
- g) Copies of the Plan of Corrective Action which includes completion dates and responsible parties are shared with the program managers and others involved, including the Board President, and forwarded to the Catholic Charities Corporate Compliance Officer and maintained in the QA department for periodic follow-up.
- h) The Quality Assurance Department or Director of Finance will communicate with the Corporate Compliance Office any deficiencies under the dispute process, as deemed necessary.

- i) Fiscal audit findings and plans of corrective action are directly overseen by the Executive Director or designee who also signs all related paperwork. Copies are sent to Catholic Charities Fiscal Office and other internal units as requested.
- j) Board sub-committees are advised of the audits and any substantial findings. In turn, the subcommittee reports same to the full Board of Directors as needed.
- k) If audits are determined to have system-wide implications and considered to be potentially helpful to other CC agencies, the material is shared by the Executive Director with the CEO of Catholic Charities.