



Optional Audit Staff Questionnaire



Questionnaire



- Purpose
 - Gain an understanding of operation, quality control policies and procedures
 - Gauge staff awareness and understanding as well as compliance with QC policies and procedures
- Can be used in conjunction with interviews
- Optional, not mandatory



Questionnaire



- Questionnaire is just one piece to use in evaluating compliance with Quality Control & Assurance policies and procedures and GAGAS
- Can use illustrative questionnaire included in guide or develop your own questions



Questionnaire

- May encounter some reluctance to respond to questionnaire
 - Can alleviate some concerns by determining an anonymous means of providing the information directly to the peer reviewers
 - Make it clear that certain personal information such as phone number and email address are optional.
- The illustrative questionnaire is broken down into questions for the major standards categories:

Independence	Professional Judgment
Competence	Quality control
Supervision	Planning
Violations Laws Regulations, Contracts, Grant Agreements, Fraud & Abuse	Internal Control
Evidence and Audit Documentation	Reporting Audit Results



Questionnaire Results



- Analyze questionnaire results and explore potential problem areas in greater detail during the peer review
- Negative responses should not be viewed in isolation
- **Red-flags** – indications of weaknesses in QC system or communication
 - Significant number of responses indicative of lack of staff knowledge of policies and procedures
 - Important aspects of policies and procedures generally not followed