

2018 *Charter* Audit Workshop

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PRESENTED BY: STEPHANIE WOOD & THOMAS ENGLERT



Agenda



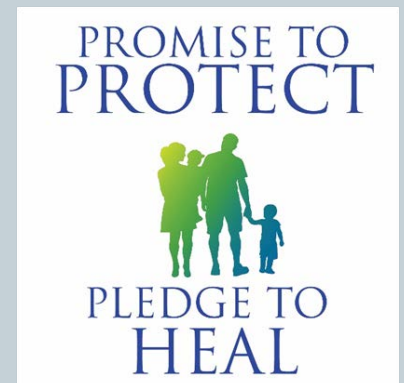
- **Audit Process Overview**
 - On-site vs. data collection
 - Required documents
 - Deadlines for submission
- **Q&A - Audit Instrument, Charts A/B & C/D**
- **Parish Audit Reminder**
- **Parish Survey Reminder**
- **Review of Audit Completion Process**



Audit Process Overview



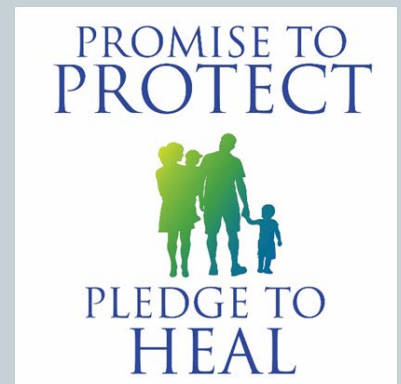
- On-site audits – 73 locations in 2018
 - 72 audits confirmed
 - Waiting on confirmation from one eparchy
- Auditors will reach out to Dioceses/Eparchies during the first week of June.



Audit Process Overview



- Submission of documents for On-site audits:
 - ✦ You should have received blank audit forms via e-mail. Please reach out to Stephanie if you didn't get them.
 - ✦ Email Charts A/B, C/D to Stephanie by **Friday, August 31, 2018**, OR **one week prior to your audit**, whichever is earlier. Early submission is appreciated!
 - ✦ swood@stonebridgebp.com



Audit Process Overview



- Submission of documents for On-site audits:
 - ✦ Email all audit documents to your auditors at least one week prior to your audit.
 - ✦ Email a copy of the proposed interview schedule at least one week prior to your audit.
 - ✦ Expect auditors to spend two to three days on-site, depending on parish audits



Audit Process Overview



- On-site audits (Continued):
 - Information Request Letter
 - ✦ Please reference the 2018 Audit Instrument included in the 2018 Audit Manual
 - ✦ Provides examples of source documentation by Article
 - ✦ These were e-mailed out with the audit documents.

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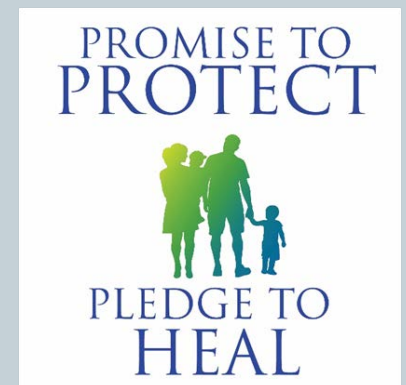


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Audit Process Overview



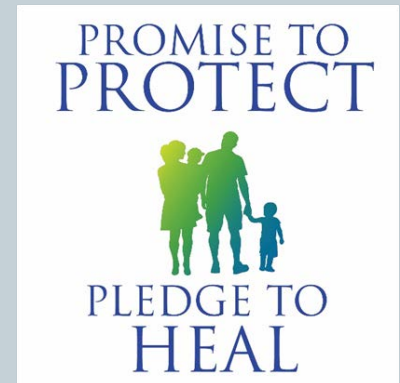
- **On-site audits (Continued):**
 - **Information Request Letter Continued:**
 - ✦ Use this list to prepare documents for review by the auditors while on-site
 - ✦ Examples should be from the current audit period, July 1, 2017 through June 30, 2018
 - ✦ If no examples apply to the current audit period, the prior audit period can be used.



Audit Process Overview



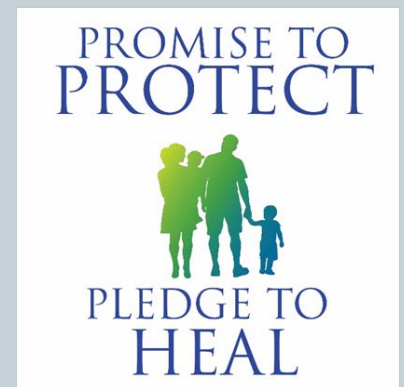
- On-site audits (Continued):
 - Audit Interviews:
 - ✦ Please reference the 2018 Audit Interviews list included in the 2018 Audit Manual
 - ✦ Provides list of individuals we may need to interview while on-site



Audit Process Overview



- On-site audits (Continued):
 - Audit Interviews Continued:
 - ✦ Use this list to prepare audit schedule
 - ✦ We may not need to interview everyone on this list – only those responsible for *Charter* implementation
 - ✦ Be sure to include everyone named in the Audit Instrument, Chart A/B, and Chart C/D

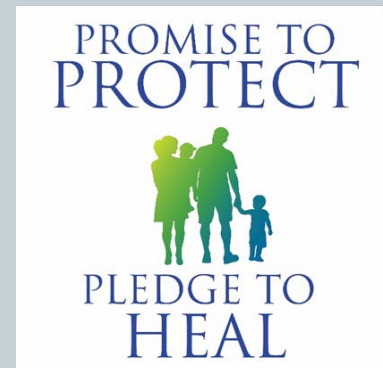


Audit Process Overview



- Data collection audits:

- Waiting on 14 dioceses/eparchies to submit contact form!
- Email Charts A/B , C/D to Stephanie by **August 31, 2018.**
- swood@stonebridgebp.com



Audit Process Overview



- **Data collection audits:**
 - Data collection audits are performed in the order received.
 - The earlier your forms are submitted, the faster you'll get your results!



Q&A – Audit Instrument, Charts A/B & C/D



- Please reference 2018 Audit Manual for copies of the 2018 Audit Instrument, Chart A/B & Chart C/D
- Call StoneBridge with any questions
 - Mike Tomeno – 585-340-5169
 - Stephanie Wood – 585-295-0553



Chart A/B – Things to Remember



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- **Part I:**
 - Please fill in all cells
 - Use unique Accused #'s
 - Include all allegations – this includes those that are referred to other Dioceses and those that turn out to be boundary violations.

- **Part II:**
 - Answer all questions
 - If using “yes, no, N/A” answers, please label what question you are answering

Chart A/B – Things to Remember



- **Part III:**
 - Question 1 – Include any victims/family members receiving services in the current audit period, who also reported in the current audit period.
 - Question 2 – Include any victims/family members who reported in a prior audit period but continue to receive services in the current audit period.



Chart C/D – Things to Remember



- **Part I:**
 - Total opt outs should not be included in the “total not trained” figure.
 - Materials being sent home to parents does not qualify as being “trained”. These should be included in “total not trained”.
 - Candidates for ordination count should include all of those in priestly formation and in the diaconate program.

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Chart C/D – Things to Remember

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- **Part I (Continued):**
 - Properly include/exclude visiting priests, international priests, and religious order priests.
 - Number of children trained should include only those trained in the current audit period.
 - Number of clergy, employees, educators, and volunteers trained should include those trained in the current period and prior audit periods (only those who are still active as of June 30th).

Chart C/D – Things to Remember



- **Part I (Continued):**
 - For volunteers – someone is considered active at the end of the year if they will be volunteering again next year. For example, an individual volunteers for one or two events during the year, but are not actively volunteering at June 30th. They should still be included in your count if you anticipate they will be back for the event the next year.
 - If they are not returning next year, they do not need to be included in the count.

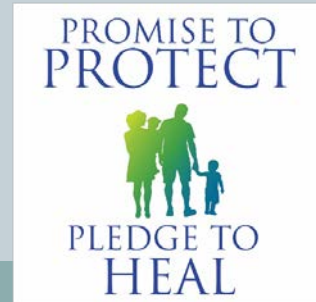
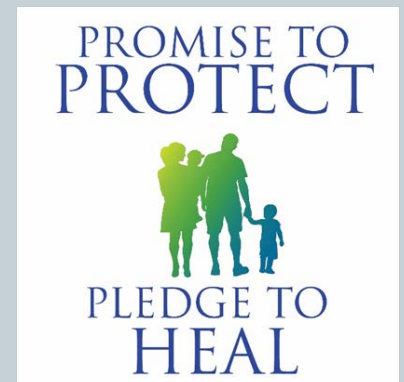


Chart C/D – Things to Remember



- **Part II:**
 - Explain any gaps in the numbers from Part I.
 - Explain when total trained exceeds total background checks or vice versa.
 - Include the frequency of training AND background checks.



Parish Audits



- Optional for on-site audit participants
- Importance of parish audits – conducted either internally or by StoneBridge.



Parish Audits



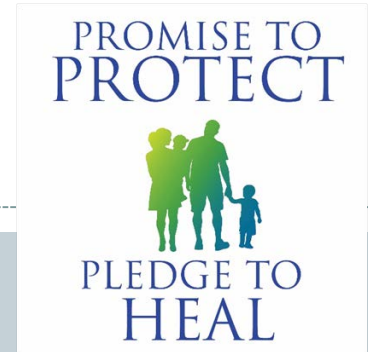
- Audit contact person provides auditors with 10 nearby parishes (if parish audits have been conducted in the past, do not include those previously visited).
- Diocese may also select parishes/schools if there are specific locations they would like us to visit.
- May be helpful to revisit any parishes/schools if issues were found in the past.

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Parish Audits



- Auditors are generally able to visit 4-6 locations, depending on how flexible the schedule is
- One hour at each parish and/or school
- Interview pastor, principal, SEC, DRE
- Take a tour, review any posters or brochures that are available regarding safe environment or reporting allegations
- Review training/background check documentation for a sample of employees/volunteers (if applicable)

Parish Survey



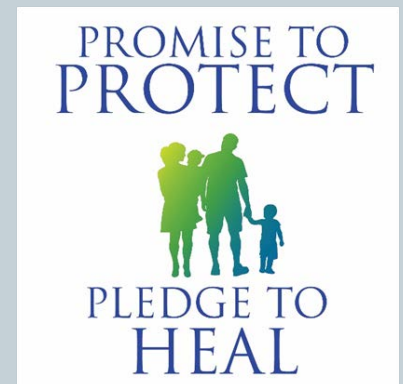
- Please reference the 2018 Parish Survey included in the 2018 Audit Manual
- Optional self-assessment tool for dioceses & eparchies



Parish Survey



- Web-based survey distributed via email by diocesan audit contact prior to on-site visit
- Can be a great tool for new SEC's to get a better understanding of how things are done at the parish/school level



Parish Survey



- Results summarized automatically and shared with dioceses/eparchies as part of the on-site audit.
- These may also be used by the dioceses/eparchies scheduled for a data collection audit.



Audit Completion



- **On-site audits**
 - Compliance Letter
 - Management Letter (optional) unless there is something noted that could affect compliance in the future. These comments will require additional follow-up at the close of the next audit period.
- **Data collection audits**
 - Compliance Letter
- **All letters will be addressed to the Bishop and distributed via USPS and email**



Questions



- Thom Englert
tenglert@stonebridgebp.com
- Stephanie Wood
swood@stonebridgebp.com
585.295.0553 (direct)
- Michael Tomeno
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