Audit & Operations Alignment Check

Before the next audit: confirm records, responsibilities, and evidence

Use this preventive review to compare written requirements with actual practice. Review a sample of records and trace each claim or reported outcome to supporting evidence.

How to use: Mark each statement 0 = Not in place, 1 = Partially in place, 2 = In place and evidenced. Mark N/A only when genuinely outside your organization's scope; exclude N/A from the denominator. For each score of 0 or 1, record the missing evidence or corrective action.

Organization: _____ Review date: _____ Reviewer: _____

Requirements & documentation

01. An up-to-date register identifies applicable laws, contract clauses, payer rules, and responsible owners.	0 / 1 / 2 / N/A
02. Policies, procedures, forms, and approval records have current versions and review dates.	0 / 1 / 2 / N/A
03. A sample of service or transaction records shows complete, timely, and consistent supporting documentation.	0 / 1 / 2 / N/A

Workflow & financial controls

04. Key workflows identify who initiates, reviews, approves, and reconciles transactions.	0 / 1 / 2 / N/A
05. Claims, invoices, and performance reports are checked against underlying records before submission.	0 / 1 / 2 / N/A
06. Access rights, confidentiality safeguards, retention rules, and incident escalation are documented.	0 / 1 / 2 / N/A

Audit trail & corrective action

07. Training and credential evidence is available where contractually required.	0 / 1 / 2 / N/A
08. Previous findings, complaints, denials, and exceptions are logged with owners and due dates.	0 / 1 / 2 / N/A
09. Corrective actions are tested for effectiveness and closed only after evidence review.	0 / 1 / 2 / N/A
10. Management can retrieve requested records and explain material discrepancies without reconstructing records after the fact.	0 / 1 / 2 / N/A

Scoring & interpretation

Score: ____ points earned / (2 x ____ applicable statements) = ____%. Suggested triage only: 85-100% generally established controls; 65-84% targeted gaps; below 65% significant preparation needs. These cutoffs are planning conventions, not validated thresholds. A single critical legal, safety, privacy, or financial failure overrides the

percentage.

Priority warning signs: Unsupported billing; missing approvals; overdue corrective actions; inconsistent records; expired credentials.

Immediate action plan

Highest-risk gap and supporting evidence: _____

Owner and corrective action: _____

Target completion date: _____ Verification method: _____

Evidence cross-reference

GAO, 2025 Green Book: control activities, quality information, monitoring, remediation; adaptable by nonfederal organizations: https://www.gao.gov/greenbook

TFS internal County & State Cross-Reference Checklist (2025), modules on fiscal systems/invoicing, monitoring and per-contract verification; internal working reference, not an external authority.

OSHA, Recommended Practices, proactive identification and correction of risks (operational analogy): https://www.osha.gov/safety-management/

Important: This is an original, evidence-informed preview checklist, not a licensed or psychometrically validated assessment. Applicable requirements depend on your sector, funding, contracts, and jurisdiction. A completed checklist does not establish compliance or guarantee audit outcomes.

REQUEST THE EXPANDED ASSESSMENT

To request the expanded audit & operations alignment check toolkit, choose one pathway: subscribe to the Thrive Forward Solutions newsletter; or follow Thrive Forward Solutions on three different social media platforms; or leave three separate comments on our social posts using the keyword ALIGNMENT. Then contact info@tfs-tin.org with the keyword and your preferred delivery email.

Full version preview: extended item bank, evidence register, scoring worksheet, corrective-action tracker, and management review template. Access and fulfillment details are subject to confirmation by TFS.