



WHAT TO KNOW BEFORE YOUR NEXT CUPA AUDIT

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KEY TOPICS

- Typical Process
- Preparation
- Day of the Audit
- Follow-up



TYPICAL PROCESS

- Notification letter
 - Information request
 - Documentation list
 - Audit schedule
- On-site session
 - Could also review from regulatory agency office.
 - Multi-day? Multi-week? Multi-month?
- Inspection report
- Follow-up

NOTIFICATION LETTER

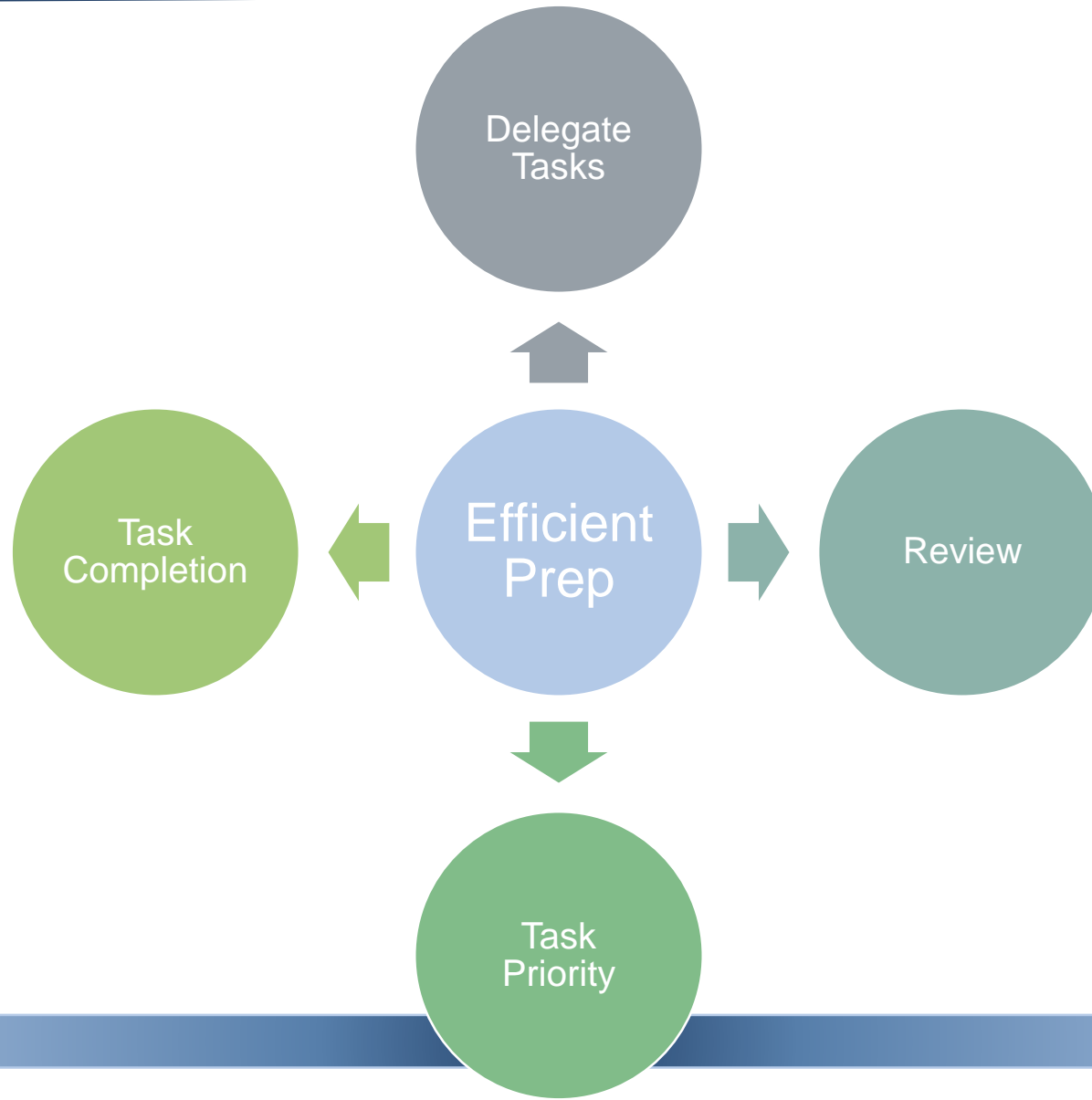
- Documentation request
- Requested on-site visit date
- Assigned inspector
- Other pertinent information



PREPARATION

- Reserve a conference room
- Update documentation, if time permits
- Have requested documents ready
- Call your contractor / consultant (?)
- Have pertinent personnel ready for interviews / questions
- Prepare for a facility tour

EFFICIENT PREPARATION

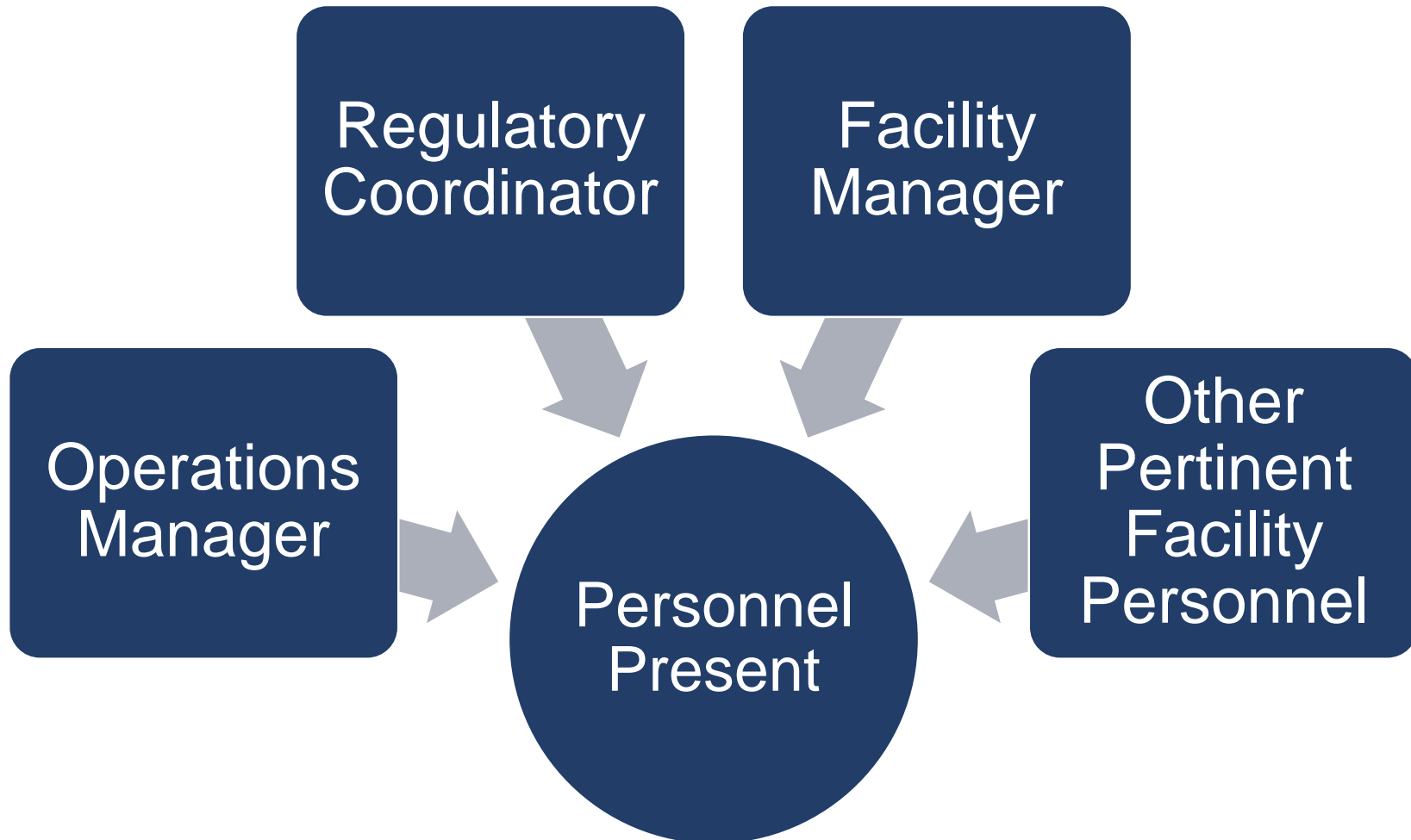


DAY OF THE AUDIT

- Facility tour
 - Notes
 - Pictures
- Documentation review
- Interviews / questions
- Post-audit review



DAY OF THE AUDIT



WHAT IS THE AUDITOR LOOKING FOR?

- Facility tour
 - Housekeeping
 - Labels
 - Posted SOPs
 - Good operations
- Document review
 - Updated documentation
 - Records of completion

WHAT IS THE AUDITOR LOOKING FOR?

- Interviews / questions
 - Consistent on-site practices
 - Procedures match documentation
 - Personnel's general understanding of program requirements
 - Personnel understand elements that pertain to their work
- Post-audit review
 - Time to review recommendations

FOLLOW-UP

- Inspection report
- Deadlines
- Opportunity to respond

QUESTIONS?

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