

4501:2-10-07

LEADS audits.

- (A) Each agency shall, upon notice, submit to a periodic and at least triennial audit conducted by members of the LEADS staff. The audit shall include the elements of compliance; economy and efficiency; and effectiveness. The audit will have two basic objectives:
- (1) To provide reasonable assurance appropriate control systems have been established by the agency administrator to ensure compliance with law and rules; and
 - (2) To provide reasonable assurance the terminal agency has instituted sufficient controls to guarantee their entries provide reliable and accurate information.
- (B) Prior to the triennial on-site audit, the agency will be contacted by LEADS staff to schedule an audit date. The agency must complete, retain, and submit a ~~pre-audit questionnaire~~, current agreements, and terminal operator's list, ~~and agency self evaluation~~ for review at the time of the audit.
- (C) The agency administrator must make every effort to be available to the auditor for an exit interview.
- (D) Agencies requested to modify operations to be in compliance will receive correspondence detailing deficiencies. The agency must respond in writing within the time period specified in the correspondence. This response must document detailed actions taken to correct the deficiencies.
- (E) Intrastate regional systems are responsible for triennially auditing agencies participating in their intrastate regional system. The audit plan must be approved by LEADS staff. The intrastate regional administrator will be responsible for the certification of audits within the regional system. LEADS will audit the regional agency and a sample representation of their agencies on a triennial basis in the same manner as is done for full access LEADS agencies. Upon completion, all agencies' audit reports shall be provided to the CSA.
- ~~(F) Mobile access service providers are responsible for triennially auditing agencies for which they provide service. Upon completion, all agencies' audit reports shall be provided to the CSA.~~
- ~~(G)~~(F) Each non-terminal agency shall, upon notice, submit to a periodic audit conducted by members of LEADS staff. The objective of this audit is to provide reasonable assurance that appropriate control systems have been established by the agency administrator to ensure compliance with law and rules.

Effective:

Five Year Review (FYR) Dates: 01/20/2017

Certification

Date

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