# What the Audit Can't See Toolkit -

## Rick Curtis

## Work as Imagined / Work as Done Assessment Worksheet

**Column 1: The Requirement**
Name of the compliance requirement being assessed.

**Column 2: Work as Imagined**
What is this requirement designed to produce in the field? (Describe the intended outcome in observable terms, not policy language.)
What does compliance look like when this requirement is fully functioning?

**Column 3: Work as Done**
What do you actually know about how this requirement is carried out in the field?
What is your current evidence that it is functioning as designed? (List specific data points.)
Is each data point accountability evidence, learning evidence, or both? (Mark each A, L, or both.)

**Column 4: Structural Assessment**
Would this requirement function if the person currently responsible for it left tomorrow? (Yes / Partially / No)
Is there a feedback mechanism that would tell you if this requirement stopped working before an incident occurred? (Yes / Partially / No)

Based on the Column 3 and Column 4 responses, each requirement receives one of three ratings.

- **Functioning Structurally**
  The requirement has both accountability evidence and learning evidence. Field performance is verified through at least one feedback mechanism beyond documentation review. The structural test passes: protection does not depend on a specific individual.
- **Partially Functioning**
  The requirement has accountability evidence but limited or no learning evidence. Field performance is not independently verified. The structural test partially passes: some elements are embedded in systems but others depend on specific individuals.
- **Structurally Vulnerable**
  The requirement has accountability evidence only. No feedback mechanism exists to verify field performance. The structural test fails: protection depends on a specific individual or on no incident having occurred yet.

# What the Audit Can't See Toolkit

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One row per requirement. Tag each piece of evidence C (completion) or F (function). The structural test: would this work the same way if the person currently making it work left tomorrow?

| Requirement | Work as imagined | Work as done | Evidence | Structural test | Rating | Next step |
|---|---|---|---|---|---|---|
| **Two-deep leadership** (Lakeview example) | Two staff present whenever a participant is in a non-public or one-on-one situation. | Activity groups run at minimum ratio, so the director arranged a Public Safety escort for every early pickup through a personal agreement. Two adults every time. Not in policy, training, or any written agreement. | C: policy. C: training. C: zero violations. C: audits. F: none. | Fails. It rests on the director's personal agreement with the head of Public Safety. | **! Structurally vulnerable** | Put the arrangement in a written agreement between the program and Public Safety; write the request procedure into program procedures and training; name the role that makes the call. Owner: program director role. Check: end-of-session summary. |
| | | | ☐ C ☐ F | ☐ Passes ☐ Fails<br>Depends on: | ☐ Functioning structurally<br>☐ Partially functioning<br>☐ Structurally vulnerable | Owner (role):<br>Date: |
| | | | ☐ C ☐ F | ☐ Passes ☐ Fails<br>Depends on: | ☐ Functioning structurally<br>☐ Partially functioning<br>☐ Structurally vulnerable | Owner (role):<br>Date: |
| | | | ☐ C ☐ F | ☐ Passes ☐ Fails<br>Depends on: | ☐ Functioning structurally<br>☐ Partially functioning<br>☐ Structurally vulnerable | Owner (role):<br>Date: |