PERAC PROSPER

USER GUIDE | **AUDIT PROCESS**

Version 2024.01

Public Employee Retirement Administration Commission

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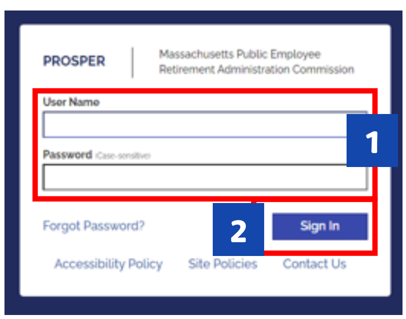
(1) The Audit Process – Board Administrators

In This Section

1.1 Required Role(s) to Access the Audit Module

In order to access the Audit Module within PROSPER, you will need to either be a Board Administrator or hold the Finance Role as staff. This PROSPER module is available only to staff who have checked the Finance Role when filling out the PROSPER Individual account Approval application. Board Administrators will have full access and will be the ones to receive the engagement letter for the audit.

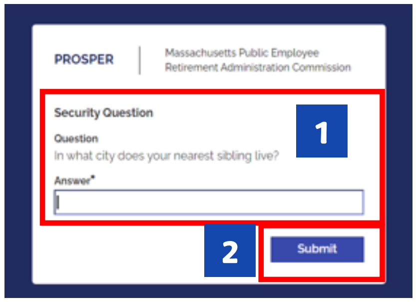
Figure 1.1.1: Logging into PROSPER



Log into your PROSPER account:

1. Enter **User Name** and **Password**.
2. Click **Sign In**.

Figure 1.1.2: Security Question



You will then be prompted to answer your security question before proceeding.

1. Answer the Security Question in the **Answer** field.
2. Click **Submit**.

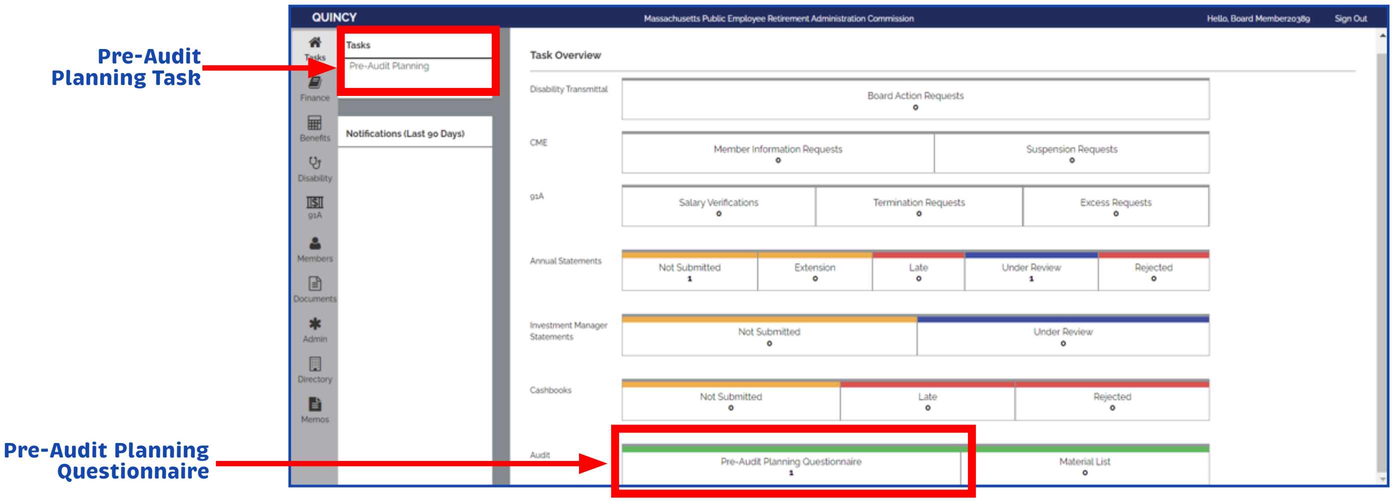
Figure 1.1.3: The Tasks Landing Page

- *You will land on the **Tasks Landing** page*
- *If PERAC has not started the Audit Process, there will be no **Audit Tasks** and Audit swim lane will be at zero.*

1.2 Pre-Audit Planning

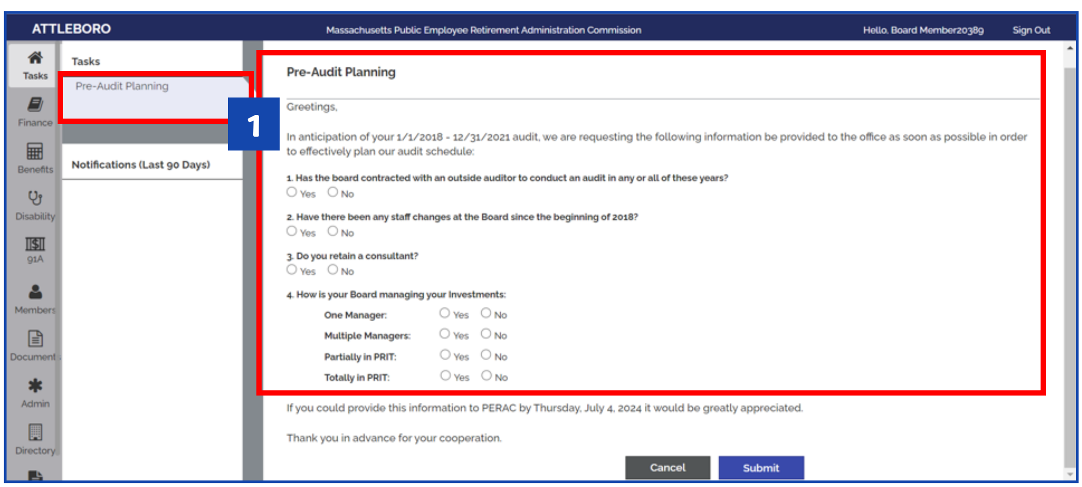
Once PERAC has started the Audit Process there will be a **Pre-Audit Planning Task**.

Figure 1.2.1: Pre-Audit Planning Task



➤ *The Audit swim lane will be incremented by 1 on the **Pre-Audit Planning Questionnaire**.*

Figure 1.2.2: Accessing the Pre-Audit Planning Questionnaire (1)

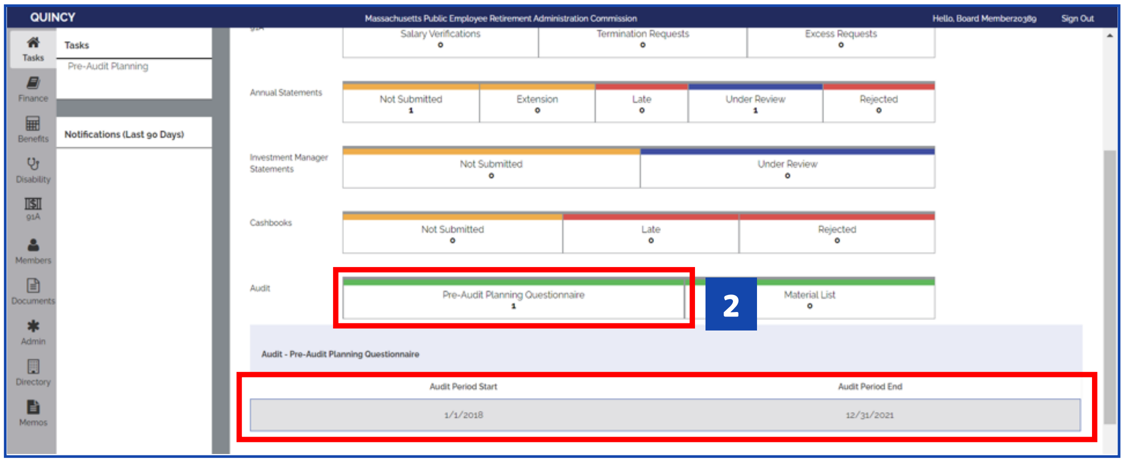


➤ *There's 2 ways to access the Pre-Audit Planning Questionnaire:*

1. Click on the **Task.**

OR

Figure 1.2.3: Accessing the Pre-Audit Planning Questionnaire (2)

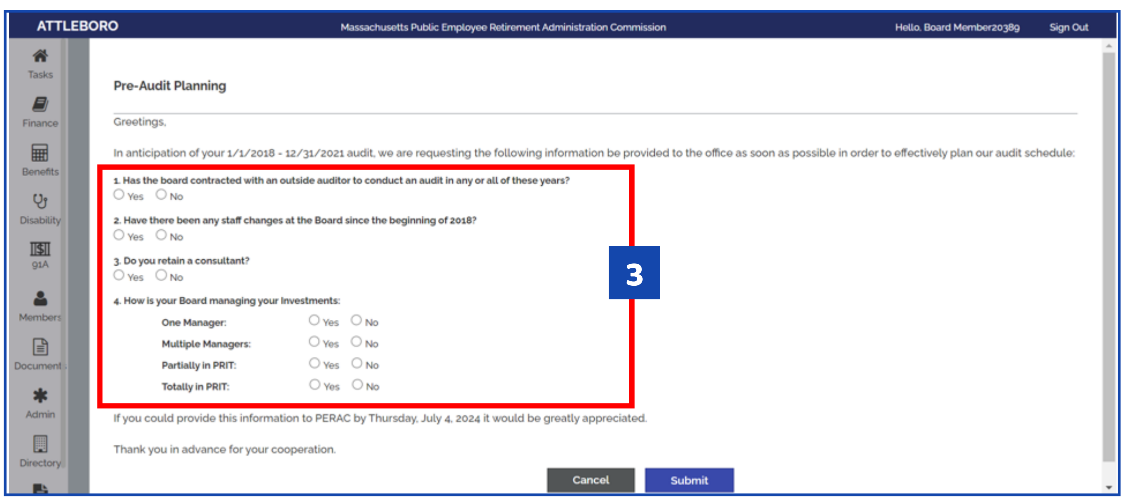


2. Click the **Pre-Audit Planning Questionnaire** in the swim lane and pick the questionnaire with the correct **Audit Period Start** and **End Dates**.

NOTE!

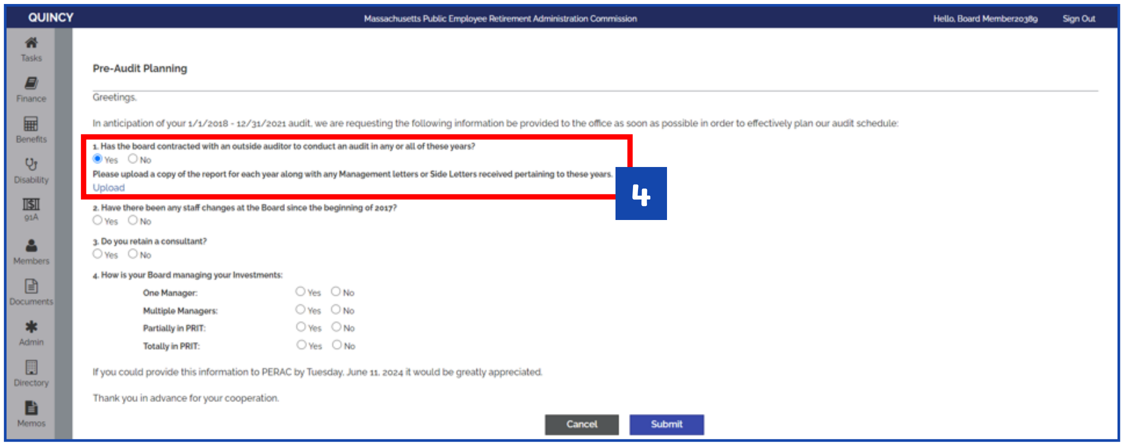
NOTE: It dosen't matter which method you choose, both will get you to this *Pre-Audit Planning Questionnaire* screen.

1.2.4: Pre-Audit Planning Questionnaire



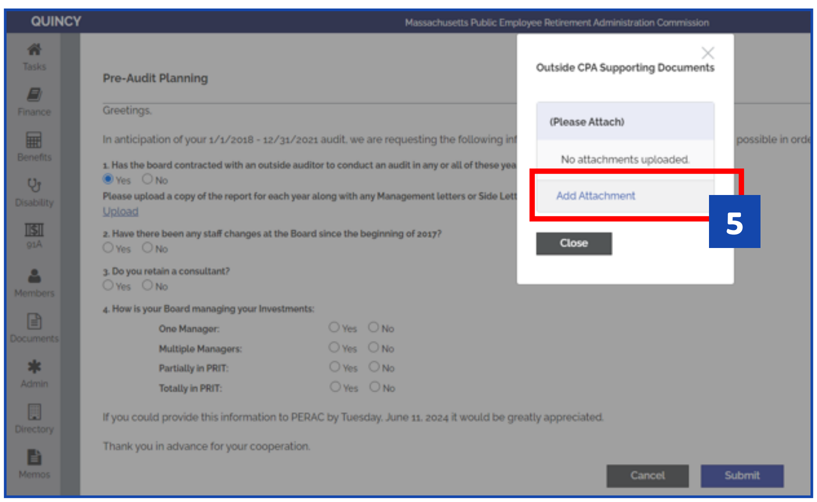
3. Answer all four questions appropriately.

Figure 1.2.5: If Answering YES to Question 1



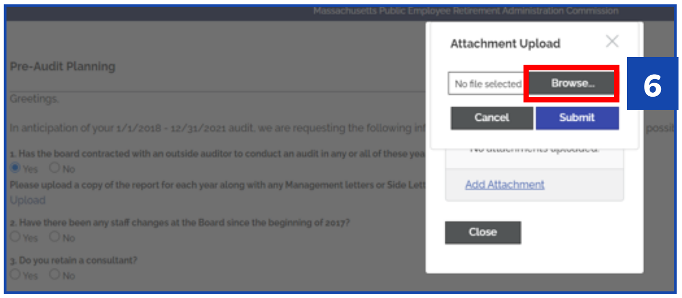
4. If the answer to Question 1 is **YES**, click the **Upload** button to upload a copy of the outside audit reports.

Figure 1.2.6: Adding Attachments (Outside CPA Supporting Documents)



5. Click **Add Attachment.**

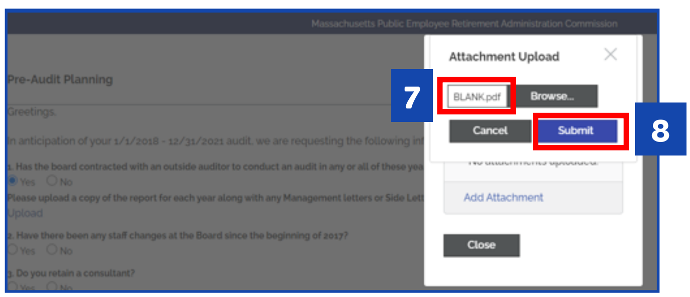
Figure 1.2.7: Browsing for the Attachment



6. Click the **Browse** button to find the document to attach.

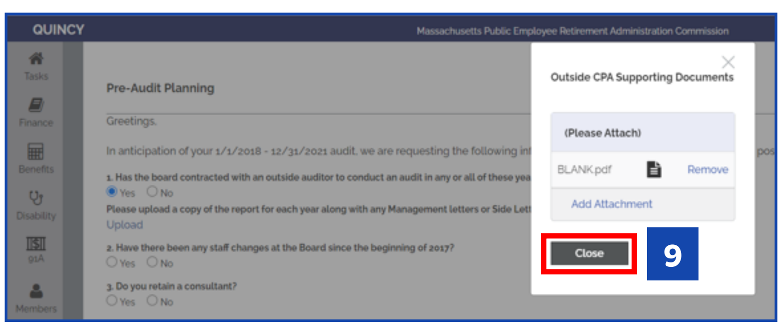
NOTE: The document must be submitted in PDF format.

Figure 1.2.8: Selecting and Submitting an Attachment



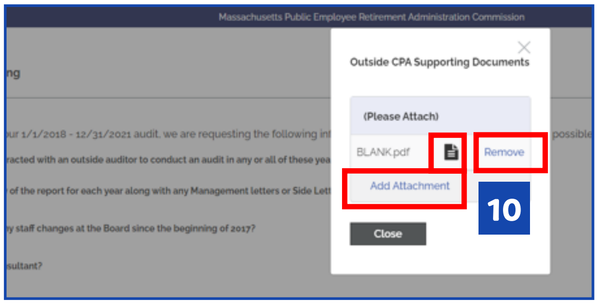
7. Once document is selected, the document name appears in the field to the left of the Browse button.
8. Click **Submit**.

Figure 1.2.9: Closing Attachment Window



9. Click **Close** once document has been submitted.

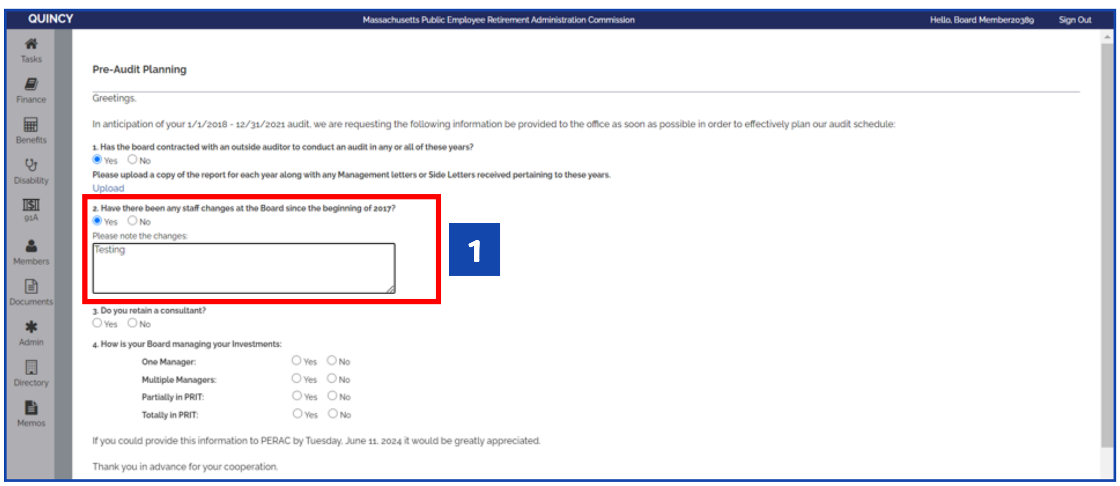
Figure 1.2.10: Adding and/or Deleting Attachments



10. If you click **Upload** again, you will be able to see what you uploaded by clicking on the DOC icon.

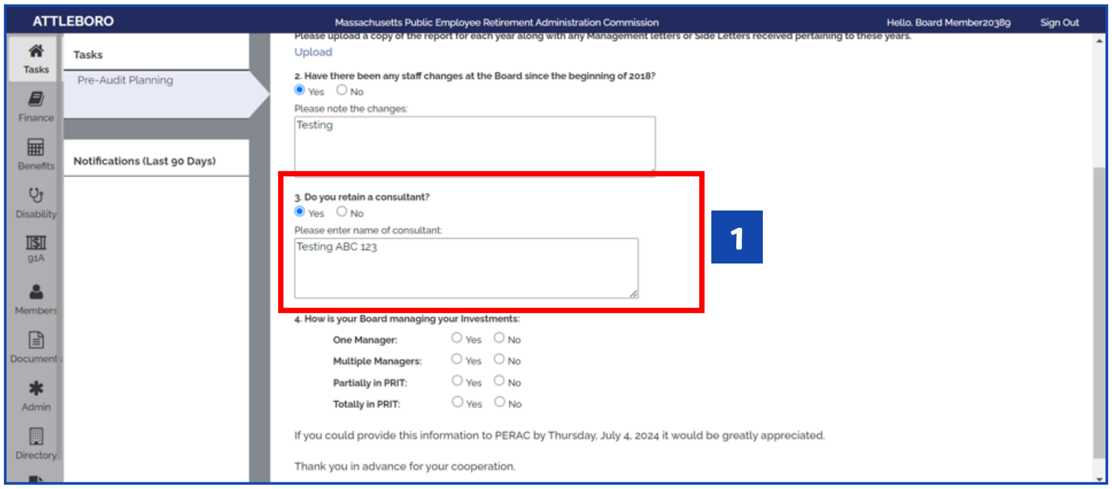
- To remove the document, click **Remove**.
- To attach another document, click **Add Attachment**.

Figure 1.2.11: If Answering YES to Question 2



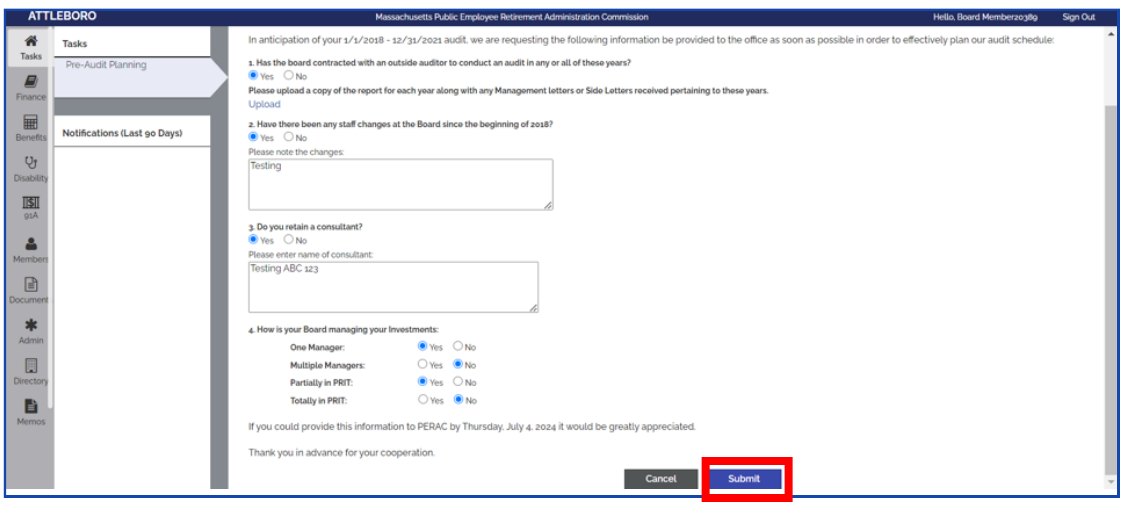
1. If the answer to Question 2 is **YES**, add a note with the staff changes in the box.

Figure 1.2.12: If Answering YES to Question 3



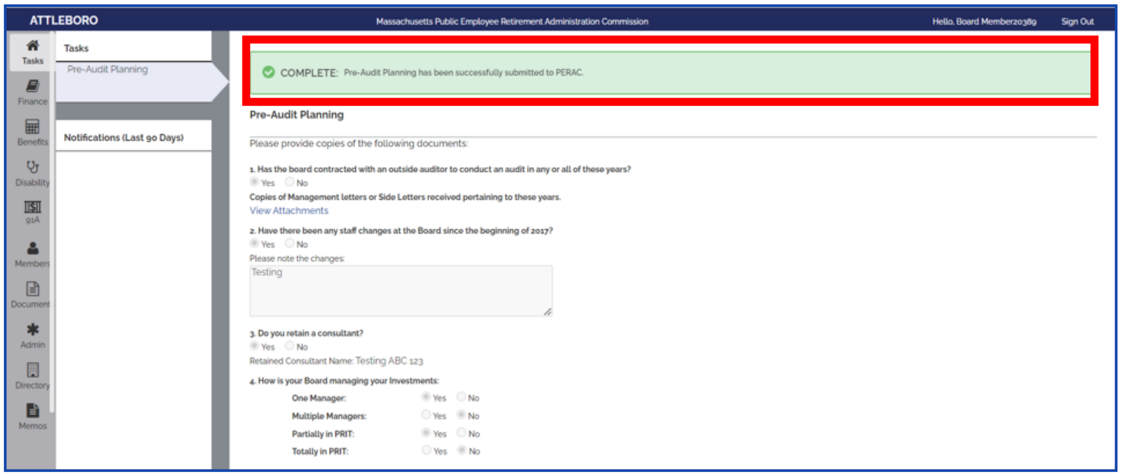
1. If the answer to Question 3 is **YES**, fill in the name of the Consultant.

Figure 1.2.13: Submitting the Pre-Audit Planning Questionnaire



➤ *Once all four questions have been answered, click **Submit**.*

Figure 1.2.14: Submission Complete Banner



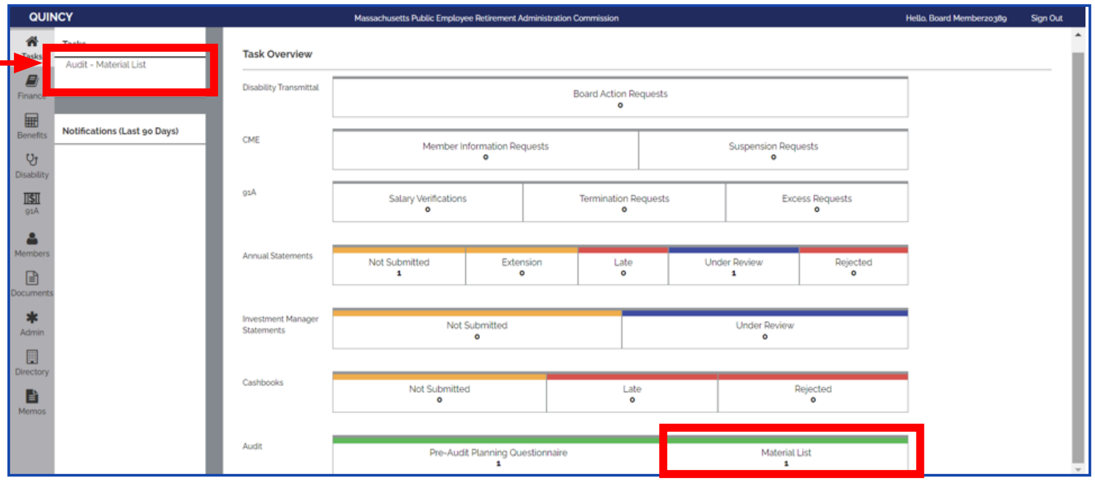
➤ *You will receive a banner that says the submission is* ***COMPLETE.***

1.3 Audit - Material List

Once PERAC has received and reviewed the questionnaire, and before the audit has been scheduled, they will "send" the Engagement Letter and Material List.

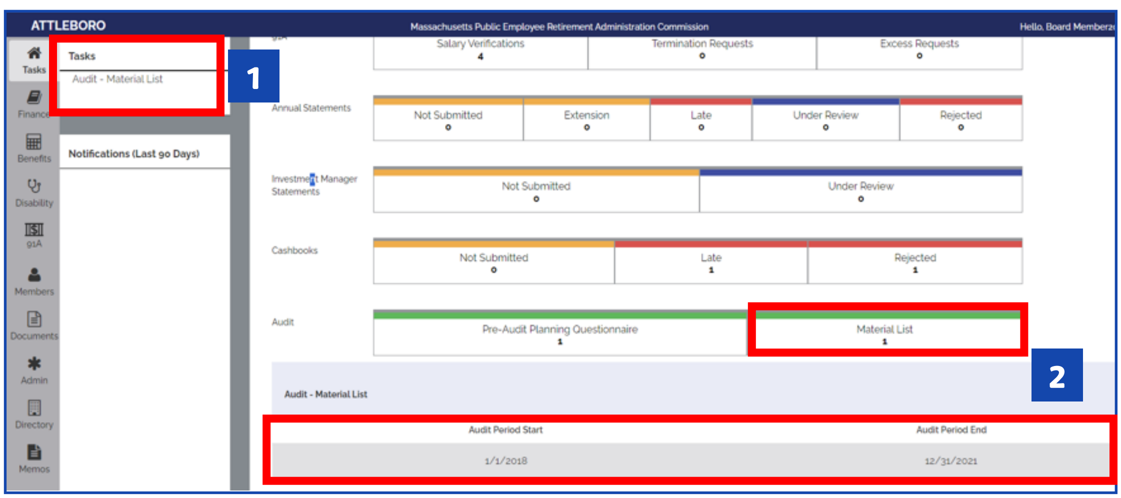
Figure 1.3.1: Audit-Material List

Audit-Material List Tab Under Tasks



➤ *Once the letter and list have been sent, there will be an Audit-Material List task and Audit swim lane **will be incremented by 1 on the Material List**.*

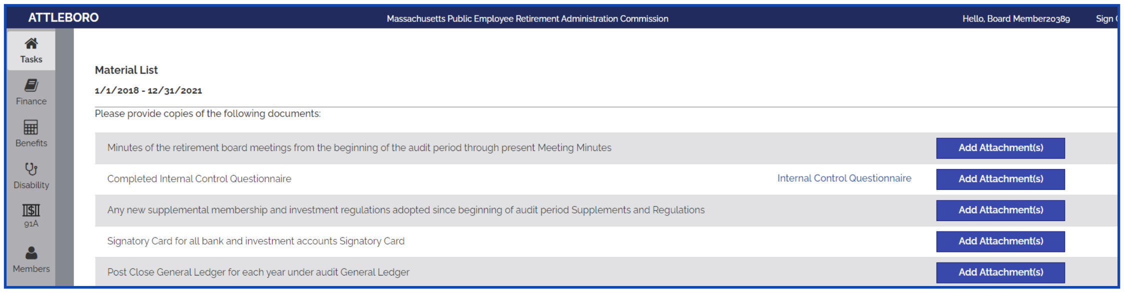
Figure 1.3.2: Accessing the Audit-Material List



➤ *You can access the Audit-Material List 2 ways:*

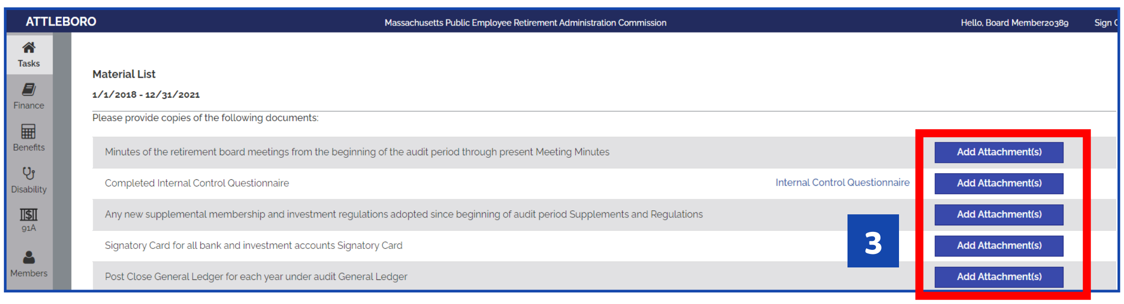
1. Click the **Task** OR
2. Click the **Audit-Material List** in the swim lane and pick the list with the correct **Audit Period Start** and **End Dates**.

Figure 1.3.3: The Audit-Material List



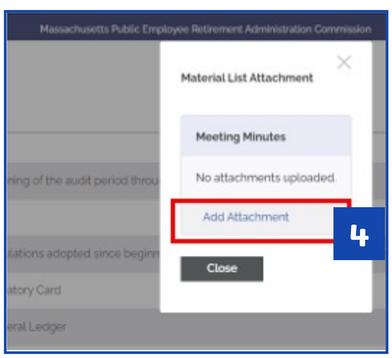
➤ *It dosen't matter which method you choose; both methods will get you to this **Audit-Material List** screen.*

Figure 1.3.4: Checklist of Documents



3. Upload all documents requested in the checklist.

Figure 1.3.5: Adding an Attachment

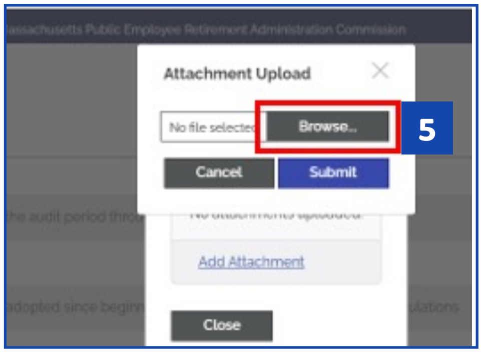


4. Click **Add Attachment** for the document(s) that you wish to upload.

NOTE!

NOTE: You may add multiple documents.

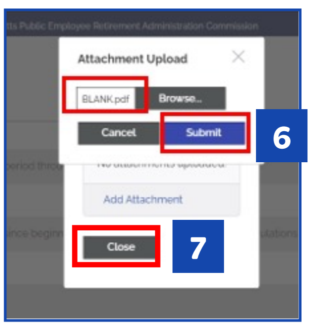
Figure 1.3.6: Browsing for Documents



5. Click **Browse** and select the correct document.

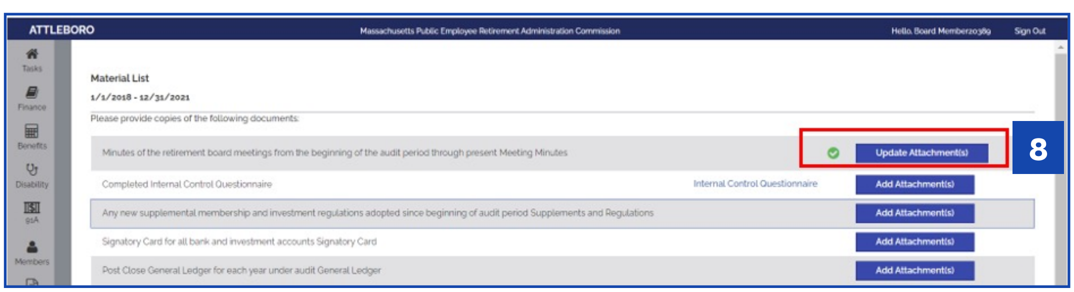
NOTE: Documents can be PDF, WORD, or EXCEL files.

Figure 1.3.7: Submitting Documents to Audit-Material List



6. Once you see the document name, click **Submit**.
7. Click on **Close**.

Figure 1.3.8: Updated Material List Screen



8. A **Green** checkbox will appear when upload is complete and the button will change to **Update Attachment(s)**.

➤ *If you would like to upload more than one document, click* ***Update Attachment(s)*** *and go through the upload process again.*

NOTE: No need to Submit – PERAC will see the documents as soon as they are uploaded.

1.4 Contact Information

Help Desk

617-591-8983 or 617-666-4446 Ext. 983
PER-ProsperHelp@mass.gov

Website Address:

https://www.mass.gov/perac-educational-materials

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