



What To Do When the Auditor Appears

The purpose of audits are to ensure Diamond's compliance with laws and regulations, as well as company policies and procedures.

An audit also provides an objective assessment of how well we are doing our jobs. That objectivity can help to prevent future problems as well as create an opportunity to constantly improve and monitor our processes. We all benefit when our organization runs more effectively.

Most people have a negative association with the word "audit." It makes them feel anxious to know that an outside expert whose job is to uncover problems will scrutinize them and their records. An auditor may be responsible for examining medical records, financial accounts, or processes and procedures to ensure accuracy and quality. Diamond and your facility may be subject to an audit by a number of outside agencies, (e.g. Joint Commission, payors, etc.). Diamond's Corporate Integrity Department regularly monitors the quality and billing accuracy of our facilities to ensure documentation and coding guidelines are met in accordance to federal and state regulations. In addition, Clinical Services monitors facilities to ensure Joint Commission readiness.

Preparing for an Audit

A regulatory agency may send an auditor at any time to review our workplace records and procedures. The law requires Diamond and/or your facility to provide auditors with access to relevant records in a thorough and timely manner. Failure to respond can be considered an obstruction of justice and could result in fines or penalties and perhaps sanctions on our ability to do business in certain markets.

Generally, outside auditors and agents from regulatory agencies will have a primary contact in Corporate Integrity, Clinical Services or your facility's lead, so take your first instructions from our company's and/or your facility's experts. By explicitly following the directions of our experts in the Corporate Integrity, Clinical Services or your facility's lead, you can provide information to auditors. Always answer each question fully, but also be aware that you should never volunteer additional information or comments.

When an internal or external audit is announced, keep these things in mind:

- The auditor will provide an agenda, plan, or question list to the Department supervisor. Your supervisor will review this with employees who need to be involved, so they know what is expected.
- Gather and organize any files and records that are requested to accomplish the auditor's stated purpose.
- Do not alter or change any records or documentation. The auditor needs to see the documents as they currently exist. Furthermore, it is a federal crime to knowingly alter, destroy, conceal, cover up, or make false entries in a document with intent to impede or influence a government investigation.
- Review your department's procedures and Diamond's Audit and Survey Notification Policy, located on SharePoint: Corporate Compliance - Compliance Policies and Procedures – Policy 1.2 (Diamond Healthcare Audit and Survey Notification). This will help answer questions about your role in the process.
- Organize your work space to present a positive appearance and to allow you to easily locate any other items that might be requested.

