

## Hospice Audit Checklist: Tips for Preparing for Interviews and Conferences with Auditors

The following checklist identifies key tips to help your hospice staff prepare for interactions with auditors, such as program integrity contractors, including Unified Program Integrity Contractors ("UPICs"). Use this tool in conjunction with the "10 Questions Every Hospice Employee Should Be Able To Answer" handout—to keep your staff audit ready.

✓	Action	Explanation
	<b>Adopt an appropriate mindset</b>	<ul style="list-style-type: none"> <li>• It is an investigation, not a conversation.</li> <li>• The communication strategies on this checklist are not intuitive—be prepared to fight human nature.</li> </ul>
	<b>Establish credibility and create a favorable impression of the organization</b>	<ul style="list-style-type: none"> <li>• Be cordial, polite and businesslike.</li> <li>• Remember, you know your business better than anyone else.</li> </ul>
	<b>Document interactions with auditors</b>	<ul style="list-style-type: none"> <li>• Identify a notetaker who will be present for interviews.</li> <li>• Document all questions/answers/statements.</li> <li>• Note action items required of hospice and/or promised by auditors.</li> </ul>
	<b>Make sure you understand the question</b>	<ul style="list-style-type: none"> <li>• Listen to the questions fully.</li> <li>• Do not assume you know what they are asking.</li> <li>• If you do not understand a question, ask for clarification—"question the questioner."</li> </ul>
	<b>Satisfy the questioner</b>	<ul style="list-style-type: none"> <li>• Provide accurate information that is responsive to the question.</li> </ul>
	<b>Provide a focused response</b>	<ul style="list-style-type: none"> <li>• Do not volunteer information that is not responsive.</li> <li>• Resist the temptation to "fill the silence" with information that was not requested.</li> <li>• Scope of answer should match scope of question—broad/broad; narrow/narrow.</li> </ul>
	<b>Avoid being misinterpreted</b>	<ul style="list-style-type: none"> <li>• If questions cannot accurately be answered in one word, provide a sufficient explanation.                             <ul style="list-style-type: none"> <li>– A response of "Yes, however..." can be effective in turning a negative into a positive.</li> </ul> </li> </ul>
	<b>Do not go "out on a limb"</b>	<ul style="list-style-type: none"> <li>• Understand the limits of your knowledge.                             <ul style="list-style-type: none"> <li>– "I don't know" is an appropriate response if it is accurate.</li> </ul> </li> <li>• Do not guess at an answer, even if you would preface the response with "This is just a guess, but..." Instead, the appropriate answer is likely "I don't know."</li> <li>• Be cautious about offering opinions.                             <ul style="list-style-type: none"> <li>– Consider whether you are qualified to provide an opinion, especially about medical issues.</li> <li>– Consider whether you have enough information to provide an informed opinion.</li> </ul> </li> </ul>

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