

LOS ANGELES GENERAL MEDICAL CENTER POLICY

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Subject: AUDITS/INSPECTIONS/SURVEYS: REPORTING AND MONITORING	Original Issue Date: 5/28/04	Policy # 109
	Supersedes: 12/24/19	Effective Date: 3/29/23
Policy Owner(s): Director, Office of Regulatory Affairs Executive Sponsor(s): Chief Quality Officer		
Departments Consulted: Office of Regulatory Affairs Quality Improvement Medical Center Administration	Reviewed & approved by: Attending Staff Association Executive Committee Senior Executive Officer	Approved by: (Signature on File) Chief Medical Officer (Signature on File) Chief Executive Officer

PURPOSE

To delineate the Los Angeles General Medical Center's organized method of notification receipt, tracking, and monitoring of both scheduled and unannounced audits/inspections/surveys occurring within the Medical Center and ensure that an administratively approved response/plan of correction is provided in a timely manner (if appropriate).

POLICY

The Los Angeles General Medical Center shall establish and maintain a reporting system that identifies and monitors scheduled and unannounced audits/inspections/surveys conducted within the Medical Center by any outside agency, organization, department, or program. Medical Center management shall appropriately report such activities to the Medical Center Office of Regulatory Affairs (ORA) for centralized coordination. Medical Center management shall also provide a copy of an approved response and/or plan of corrections to the ORA for tracking and filing.

PROCEDURE

Management (Facility/Area Administrator or Designee)

- Management shall:
 - Report all applicable audits/inspections/surveys to ORA when they become aware of such activities (using the attached "Audit/Survey Notification Report" form, EORA5).
 - Notify the Administrative Officer of the Day (AOD) about any unannounced audits/inspections/surveys that occur after regular administrative working hours (evenings, nights, weekends, and holidays).
 - Ensure an access request (using the attached "Request for Access to Medical Center Records or Other Documents" form, EORA6) is completed and signed by the visiting auditor/inspector/surveyor (business card or copy of photo identification is to be attached to form) and the Medical Center recipient(s) prior to the beginning of the actual audit/survey event. The original completed form (with attached identification) is to be submitted to ORA.
 - Provide a copy of any approved response/plan of corrections following the conducted audit/inspection/survey to ORA for tracking and filing.

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Medical Center Office of Regulatory Affairs

The Medical Center Office of Regulatory Affairs (ORA) is responsible for receiving, tracking, monitoring, and retaining all written notifications of audits/inspections/surveys from Medical Center management and copies of any subsequent responses/plans of correction. ORA will:

- Establish and maintain a system for tracking and monitoring the pertinent dates, information, and documents.
- Notify the Chief Executive Officer and Medical Center management of reported audits/inspections/surveys via the Medical Center Master Survey Calendar or directly, if appropriate.
- Maintain copies of management-approved written responses/plans of correction and support documentation from involved Medical Center areas and staff related to the audits/inspections/surveys.
- Retain documents and related data/information for the required retention period.
- Provide relevant information for inclusion in the Governing Body Report.

RESPONSIBILITY

Medical Center Chief Executive Officer
Chief Quality Officer
Medical Center Senior Executive Council
Administrators
Office of Regulatory Affairs

REFERENCES

CCR, Title 22, Article 101 70101 Inspection of Hospitals

ATTACHMENTS

Form EORA5: Audit/Survey Notification Report
Form EORA6: Request for Access to Medical Center Records or Other Documents

REVISION DATES

May 28, 2004; January 8, 2008; October 02, 2008; February 11, 2014; January 10, 2017;
December 24, 2019; March 29, 2023