

UW HEALTH JOB DESCRIPTION

INTERNAL AUDITOR-PHARMACY

Job Code: 310022	FLSA Status: Exempt	Mgt. Approval: S. Houtakker	Date: August 2019
Department: Business Integrity – Internal Audit		HR Approval: J. Olson	Date: August 2019

JOB SUMMARY

The Internal Auditor (Narcotic Control) is exposed to confidential information relating to compliance with UW Health controlled substance control policies, State and Federal laws, and HIPAA protected patient information. The Internal Auditor serves as UW Health's auditor for potential diversion activities as well as compliance by work units related to UW Health controlled substance control policies and State and Federal Laws.

Audit functions include weekly and monthly audits of licensed medical personnel's activities as it relates to controlled substances. Audits will encompass comparison of medical record documentation, entries into automated control systems, and manual accounting records for controlled substances. The Internal Auditor must have a thorough understanding of all controlled substance control systems in all UW Health clinical areas that handle controlled substances. The scope of services provided crosses areas as diverse as community pharmacies, inpatient acute care nursing units, operating rooms, procedural areas, distribution center, and clinics.

The Internal Auditor serves as the department trainer for clinicians and some clinical managers in the areas of controlled substance control. The position utilizes reporting tools for pharmacy automated systems and UW Health electronic medical records. The Internal Auditor also provides advice and counsel to management by providing analyses, recommendations, and counsel based upon audits, best practice guidelines, and current systems in order to effectively discharge their responsibilities.

The Internal Auditor must maintain confidentiality and is expected to exercise discretion, initiative, and judgment. Work is performed under general supervision of the Director of Internal Audit. The Pharmacy Coordinator also provides guidance as it relates to controlled substance systems, department training, investigations, and state and federal regulations.

MAJOR RESPONSIBILITIES

A. Evaluate Controlled Substance Discrepancies and Help Ensure Timely and Accurate Resolution Documentation.

- 1) Follow up with managers when inappropriate documentation has occurred or issues are uncovered.
- 2) Evaluate situations where resolution cannot be found and explore patterns and historical events with areas and users as appropriate.

B. Review and Evaluate Areas of UW Health and Related Enterprise Partners that Store/Handle Controlled Substances.

- 1) Perform audit assignments and other audit services identified in a thorough manner in order to propose meaningful recommendations. Conduct audits in accordance with established schedule and procedure.
- 2) Identify areas/activities requiring audit review through observations made during the course of audit assignments.
- 3) Obtain an understanding of risk and systems of control for each auditable area by reviewing policies and procedures, communicating with staff, and observing processes.
- 4) Design and perform audit programs that adequately test effectiveness of controls, compliance to established policies and procedures, and compliance to federal and state laws and regulations using standard auditing techniques.
- 5) Prepare and maintain completed audit workpapers, documenting the basis for the recommendations made relative to the audit assignments.
- 6) Assist in the development of risk analyses and annual audit plans.
- 7) Complete assignments in an efficient manner with minimal interference with operations.

C. Communicate Audit Findings and Recommendations.

- 1) Describe each system examined to adequately identify controls, using acceptable documentation methods.
- 2) Report all significant audit findings to the Director of Internal Audit.
- 3) Prepare written reports for each audit conducted.

UW HEALTH JOB DESCRIPTION

- 4) Make timely evaluations of current audit procedures and goals and propose changes in them as situations warrant.

D. Obtain Information Necessary to Accurately Maintain an Audit Risk System.

- 1) Collect accurate and consistent information needed to maintain a risk assessment system for all auditable areas, as established.
- 2) Demonstrate knowledge of the risk assessment system by identifying valid information and significant changes.

E. Maintain Knowledge of Professional Auditing Standards.

- 1) Maintain awareness of changes in auditing principles and practices and related areas in order to maintain professional competence.
- 2) Comply with the standards of professional practice of internal auditing as established by the Institute of Internal Auditors.

F. Complete Routine Surveillance Audits of Controlled Substance Activity.

- 1) Review various activity reports (e.g., dispense, administration, waste, return, etc.) for outliers and unusual activity that might indicate non-compliance with federal and state laws, regulations, or established policies and procedures.
- 2) Ensure the required lab testing procedures are being performed and review the results to verify expected controlled substance and concentration are present.

G. Assist with Investigation of Suspected Cases of Controlled Substance/Diversion.

- 1) Assists with data collection preparation of summary information needed to document and quantify diversion events.
- 2) Provides information requested and/or required by the Drug Enforcement Agency, police, licensing boards, etc. to management.

H. Train Clinical Managers on Expectations for Controlled Substance Activities.

I. Prepare Monthly Compliance and Trend Reports for Review by Nursing, Pharmacy, and Other Clinical Managers to Demonstrate Overall Performance of the Controlled Substance Systems.

ALL DUTIES AND REQUIREMENTS MUST BE PERFORMED CONSISTENT WITH THE UW HEALTH PERFORMANCE STANDARDS.

JOB REQUIREMENTS

Education	Minimum	Bachelor's degree in related field or equivalent combination of related education, work experience, and training
	Preferred	
Work Experience	Minimum	Two (2) years of experience in health care setting, internal auditing (or equivalent)
	Preferred	Nursing or pharmacy experience
Licenses & Certifications	Minimum	None
	Preferred	Certified Pharmacy Technician
Required Skills, Knowledge, and Abilities		<ul style="list-style-type: none"> • Excellent verbal and written communication skills. • Knowledge of hospital-based pharmacy systems. • Knowledge of and ability to use computers, including word processing, database management, spreadsheets, e-mail, and calendar systems, specifically Microsoft Office applications. • Attention to detail and confidentiality.

UW HEALTH JOB DESCRIPTION

AGE SPECIFIC COMPETENCY (Clinical jobs only)

Identify age-specific competencies for direct and indirect patient care providers who regularly assess, manage and treat patients.

Instructions: Indicate the age groups of patients served either by direct or indirect patient care by checking the appropriate boxes below. Next,

<input type="checkbox"/>	Infants (Birth – 11 months)	<input type="checkbox"/>	Adolescent (13 – 19 years)
<input type="checkbox"/>	Toddlers (1 – 3 years)	<input type="checkbox"/>	Young Adult (20 – 40 years)
<input type="checkbox"/>	Preschool (4 – 5 years)	<input type="checkbox"/>	Middle Adult (41 – 65 years)
<input type="checkbox"/>	School Age (6 – 12 years)	<input type="checkbox"/>	Older Adult (Over 65 years)

JOB FUNCTIONS

Review the employee's job description and identify each essential function that is performed differently based on the age group of the patient.

PHYSICAL REQUIREMENTS

Indicate the appropriate physical requirements of this job in the course of a shift. *Note: reasonable accommodations may be made available for individuals with disabilities to perform the essential functions of this position.*

Physical Demand Level		Occasional Up to 33% of the time	Frequent 34%-66% of the time	Constant 67%-100% of the time
x	Sedentary: Ability to lift up to 10 pounds maximum and occasionally lifting and/or carrying such articles as dockets, ledgers and small tools. Although a sedentary job is defined as one, which involves sitting, a certain amount of walking and standing is often necessary in carrying out job duties. Jobs are sedentary if walking and standing are required only occasionally and other sedentary criteria are met.	Up to 10#	Negligible	Negligible
	Light: Ability to lift up to 20 pounds maximum with frequent lifting and/or carrying of objects weighing up to 10 pounds. Even though the weight lifted may only be a negligible amount, a job is in this category when it requires walking or standing to a significant degree.	Up to 20#	Up to 10# or requires significant walking or standing, or requires pushing/pulling of arm/leg controls	Negligible or constant push/pull of items of negligible weight
	Medium: Ability to lift up to 50 pounds maximum with frequent lifting and/or carrying objects weighing up to 25 pounds.	20-50#	10-25#	Negligible-10#
	Heavy: Ability to lift up to 100 pounds maximum with frequent lifting and/or carrying objects weighing up to 50 pounds.	50-100#	25-50#	10-20#
	Very Heavy: Ability to lift over 100 pounds with frequent lifting and/or carrying objects weighing over 50 pounds.	Over 100#	Over 50#	Over 20#
List any other physical requirements or bona fide occupational qualifications:				

Note: The purpose of this document is to describe the general nature and level of work performed by personnel so classified; it is not intended to serve as an inclusive list of all responsibilities associated with this position.