Name/Logo

**CORPORATE COMPLIANCE**

(Audit Report)(Executive Summary)

**Facility Name & Dept (Clinic/Hosp)**

(Audit Title)

(Date this report completed)

(Name)

(Title)

*NOTE: Generally, each section should be listed as narratives in the report. The italicized section is meant to be a guide for what should be filled out in the report. Do not italicize your finalized document.*

**BACKGROUND:**

*Why are we doing this audit? Address the following topics in this section:*

* *Requirement and source – this should be general in nature, detailed information and references can be listed in resource section below, this should only be a sentence or two.*
* *Discuss any previous or related audits, internal or external – this should be general in nature and only a sentence or two, specific audit findings should not be rehashed, just that the previous audit results in follow-up and when that previous audit occurred.*
* *Mention any internal policies that are applicable – again general in nature, don’t go into specifics and long titles, the policies can be linked below in the Resources section.*
* *Explain current source of risk – describe why we are doing this audit at this time, can be due to previous issues, external risk or desire to determine compliance with internal policy.*

**OBJECTIVE:**

*Define intended audit accomplishments in broad statements:*

* *Describe who was included in the audit, what type of facilities, providers, etc.*
* *Describe what exactly is being audited (coverage, billing, coding, policy, process, etc.)*
  + *E.g. “This audit will determine PPS hospital’s compliance with…”*
* *Address any changes during the audit that may have affected the objective or scope & methodology.*

**SCOPE & METHODOLOGY:**

*How did we do the audit? This section should specifically explain:*

* *Sample selection and size (payers, patients, codes, timeframes, etc.)*
* *Source documents reviewed*
* *Audit tool can be listed as an attachment*

**RESULTS:**

*Include all audit results:*

* *Findings – include error rates or categorize as minimal, moderate or significant concern.*
* *Incidental findings – include findings that are related to information not in the identified scope of the audit and that the scope of the audit was not expanded to include on all records.*
* *NOTE: When this template is used for the Executive Summary, if multiple sites were reviewed, do not include those in the body of this report. Attach the table of individual site results separately. If results are a few lines, may include in body.*

**CORRECTIVE ACTION:**

* *List any corrections that were taken immediately, including claim correction due to overpayments.*
* *Indicate if CAP is being formulated to address findings and who is responsible for its formulation*
* *Note other recommendations that should be considered but may not be mandatory.*
* *Indicate any follow-up that Compliance will take – re-audit and timeframe?*

**RESOURCES:**

*List of reference material including ink to documents if available (not all inclusive list below)*

* *Coverage policies*
* *Regulations*
* *Internal policies*
* *OIG Workplan or Reports*