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|  | **Compliance Risk Assessment Entrance and Scope Form** | **Form: Comp 18 Scope** |

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| **Section 1: Overview** |
| Risk Assessment Name – Area of Emphasis: |  |
| Auditor(s): |  |
| Operational Owners: |  |
| Entrance Conference Date: |  |

**Section 2: Background and Scope**

* List area to be audited, potential risk, and reason for risk assessment; e.g., potential Medicare claim denials.
	+ Key risks
	+ Controls
	+ Regulatory requirements/references

**Section 3: Testing Methodology**

* What will be tested/audited (must be specific and match risk assessment tool):
	+ Acceptable parameters
* Documentation to be reviewed (must be specific and match risk assessment tool):
	+ Risk assessment sample selection criteria

**Section 4: Risk Assessment Summary**

* Matrix of issues
	+ Description of issue
	+ Pass/Fail
		- Reason for pass/fail

Compliance recommendations Presentation to operational owners Signature of operational owners

Determination if risk qualifies as a request for intervention

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| **Form COMP 18 Scope Approval Signatures** |
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| **Name of Operational Owner (Print)** | **Signature** | **Date** |
|  |  |  |
| **Name of Compliance Representative (Print)** | **Signature** | **Date** |
|  |  |  |

**Reviewed: Revised:**