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.
  o Key risks
  o Controls
  o Regulatory requirements/references

Section 3: Testing Methodology
• What will be tested/audited (must be specific and match risk assessment tool):
  o Acceptable parameters

• Documentation to be reviewed (must be specific and match risk assessment tool):
  o Risk assessment sample selection criteria

Section 4: Risk Assessment Summary
• Matrix of issues
  o Description of issue
  o 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

Form COMP 18 Scope Approval Signatures

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<th>Name of Operational Owner (Print)</th>
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