



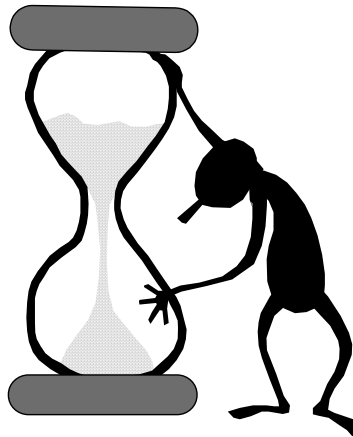
Audit Preparation Timeline

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CALGB Audit Prep Workshop, June 2006

Audit Preparation Timeline

- CALGB Audit Preparation Workshop

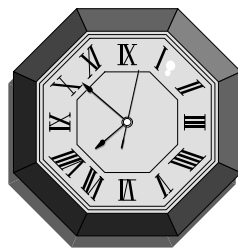


Audit Preparation Timeline

- ***When*** do I start preparing?
 - ***How*** do I prepare?
 - ***Who*** should I contact?
 - ***What*** arrangements need to be made?
 - ***Who*** attends the audit from our institution?
-

When Do I Prepare?

- **Start NOW!**



Start Audit Preparation Now!

- *Review* the Audit Guidelines from the CALGB Policy and Procedures Manual
 - *Review* a copy of your institution's last audit report
 - *Think* "AUDIT" with each IRB file and patient documentation
 - *Audit* your pharmacy on a regular basis
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Start Audit Preparation Now

- *Do* a mock audit of your institution and affiliate institutions at least twice a year (quality assurance)
 - *Submit* materials to the Statistical Center, Data Operations Statistical Center as required per protocol
 - *Monitor* submission of required slides, blocks, and x-rays
-

***When* Do I Prepare?**

- Start NOW!
 - **Audit Date(s) Identified**
-

Audit Date(s) Identified

- *Obtain* the “Golden Rod PI Letter” and read carefully
 - *Start* a correspondence folder
 - *Notify* and *schedule* date with PI, Co-PIs, all CRAs, pharmacists, IRB, and and MR staff
 - Ditto above for your affiliates
 - *Reserve* adequate space for the audit date(s)
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Audit Date(s) Identified

- *Reserve* adequate space for audit preparation
 - *Check* vacation schedules of all key players
 - *Order* supplies needed to tag charts (i.e., several colors of post-its)
 - *Reserve* x-ray view box
 - *Arrange* access to food for audit day(s)
-

When Do I Prepare?

- Start NOW!
 - Audit Date(s) Identified
 - **One Month Before Audit**
-

One Month Before Audit

- *Compile* list of patients to be audited in organized fashion (i.e., expired, off tx, active tx)
 - *Make* POA with Medical Records department
 - *Make* POA with Radiology
 - *Make* at least 2 copies of each protocol to be audited (IRB and chart audit)
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One Month Before Audit

- *Tag* protocols for chart audit
 - *Begin* IRB review and tagging of each protocol to be audited
 - *Check* for microfiche reader, if applicable
 - *Anticipate* “problem cases”
 - *Block* time on schedule of PI for touching base and exit interview
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One Month Before Audit

- *Tag* medical records
 - If a form mistake is discovered, the form can be amended, but needs to be held until after the audit to be submitted
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***When* Do I Prepare?**

- Start NOW!
 - Audit Date(s) Identified
 - One Month Before Audit
 - **Two Weeks Before Audit**
-

Two Weeks Before Audit

- and Departments *Continue* contact with affiliate institutions to monitor their progress
 - *Touch base* with pharmacist
 - *Be aware* of any new correspondence from Dr. Weiss
-

Two Weeks Before Audit

- *Review* any audit special studies reports to check for accuracy
 - *Expect* arrival of data packets for the auditors
 - *Forward* any affiliate packets to the affiliates, if the audit is taking place there
 - ***DO NOT OPEN Marked Envelopes!***
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***When* Do I Prepare?**

- Start NOW!
 - Audit Date(s) Identified
 - One Month Before Audit
 - Two Weeks Before Audit
 - **One to Two Days Before Audit**
-

One to Two Days Before Audit

- *Gather* supplies needed for auditors (i.e., calendars, calculators, BSA calculators, pencils, post-its, etc)
 - *Obtain* the last of medical records to be tagged
 - *Remind* pharmacist of need for at least 1/2 hour of time availability
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One to Two Days Before Audit

- *Call* the specified audit team leader to verify time of arrival and provide directions
 - *Organize* charts for audit by protocol in audit room
 - *Organize* x-ray jackets for audit by protocol in audit room
 - *Organize* IRB reports by protocol
-

***When* Do I Prepare?**

- Start NOW!
 - Audit Date(s) Identified
 - **One** Month Before Audit
 - **Two** Weeks Before Audit
 - **One to Two** Days Before Audit
 - **The Audit Day(s)**
-

The Audit Day(s)

- *Plan* to arrive early and stay late
 - *Plan* for a CRA to be present at ALL times
 - *Take* 3 deep breaths and *SMILE* - you've done the best you can do!
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The Audit Day(s)

- *Let* the Audit Team Leader set the agenda for the day(s), advise of special times needed for pharmacy, etc.
 - *Have* a phone and fax available
 - *Take* notes throughout the day
 - *Take* notes at the Exit Interview
 - *Arrange* for return to airport, if necessary
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***When* Do I Prepare?**

- Start NOW!
 - Audit Date(s) Identified
 - **One** Month Before Audit
 - **Two** Weeks Before Audit
 - **One to Two** Days Before Audit
 - The Audit Day(s)
 - **After the Audit**
-

After the Audit

- *Submit* corrected data sheets to Statistical Center, if appropriate
 - *Return* charts (untagged?) and films
 - *Read* carefully the Audit Report when it arrives
 - *Write* response to Audit Report
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Audit Preparation

- Please remember the mission of CALGB. You are an important team member in the climb toward our goals. View the audit as the learning experience that it is.

