

# Audit Documentation Checklist

When it comes to PBM audits, you can avoid recovery by making sure the appropriate documentation is on your hard copy before the auditor reviews it. The following list contains common items that may cause a PBM to recoup funds if documentation is missing.

## ☐ DAW Codes

If your pharmacy submitted any type of DAW code on the claim, supporting documentation of the appropriate DAW code must be included on the hard copy.

## ☐ Cut Quantities

It's not uncommon for a patient to request less than the originally written amount of medication noted on the prescription. PBMs want to know why the pharmacy chose to dispense less than what the prescriber originally authorized. If the pharmacy reduced the quantity for any reason, the change must be documented on the hard copy.

## ☐ Plan Limitations

Your pharmacy may periodically receive a rejection for a maximum day supply. While it is strongly advised to dispense less for an accurate day supply, if the pharmacy cannot dispense less (smallest package size), RxProtect recommends filling the smallest package size for the greatest day supply allowed. Documentation of the plan limits must be on the hard copy to validate the day supply submitted on the claim.

## ☐ Change in Doses

In some cases, your pharmacy may need to request a change in dose from the prescriber. For example, the pharmacy does not have 150mg Venlafaxine ER in stock but has 75mg strength. Though the final dose is the same, the original prescription still changed. Not only does the pharmacy need to document changes like these, but it must also verify the change with the prescriber and note the date and time of the authorization. Ideally, the pharmacy should obtain a new hard copy and update the prescription number.

## ☐ Submission Clarification Codes

If the pharmacy uses a submission clarification code, applicable evidence supporting the code must be documented on the hard copy.

## ☐ Maximum Daily Dose

For medications without clear-cut dosages (such as insulin), having a maximum daily dose helps validate the day supply submitted on the claim. Because one of the biggest areas of recovery often involves miscalculating the insulin day supply, it is necessary to include as much information as possible about the patient's dosage, especially if they are on a sliding-scale dosage.

## ☐ Topical Medications

When it comes to topical medications, pharmacy sig codes, such as "apply twice daily," are not specific enough to prevent the pharmacy from recovery. Auditors must be able to calculate an accurate day supply from the directions. Additionally, it is necessary to document the specific amount and area of application.

## ☐ REMS Documentation

Some REMS prescriptions have additional requirements. Though not all REMS medications require further action from the pharmacy, some mandate that the pharmacy have the appropriate documentation on the hard copy to validate it has met the REMS conditions. Most REMS requirements can be found via:

- Manufacturer websites
- Facts and Comparisons