

How to Be Prepared for an Audit



Tawanda Holmes, Director
Division of Audit Operations

Medicare Parts C & D Oversight & Enforcement Group

June 24, 2014

Agenda

- Purpose
- Preparing for an Audit
- Resources
- Questions?

Purpose

- To provide audit preparation tips for preparing for a Medicare Advantage & Prescription Drug Program Audit

Preparing for an Audit

- 4 Phases of preparation:
 - Pre-Audit Notification
 - Audit Notification
 - Audit Phase / During the Audit
 - Post Audit

Pre-Audit Notification Phase

- Familiarize yourself with the Audit Protocols released via HPMS memo
- Submit questions about the audit protocols to the [part c part d audit pcog@cms.hhs.gov](mailto:part_c_part_d_audit_pcog@cms.hhs.gov) (**part_c_part_d_audit_pcog@cms.hhs.gov**) mailbox
- Utilize the audit protocols to conduct mock audit

Pre-Audit Notification Phase (cont.)

- Assess results of your performance to identify areas for improvement, or those that require corrective action, and implement changes based on root cause
- Report any deficiencies to your Regional Office Account Manager

Audit Notification Phase

- Establish teams who will participate in the audit
- Ensure team members are familiar with internal policies and procedures, Medicare Regulations and Guidance, and CMS audit protocols

Audit Notification Phase (cont.)

- Participate in the follow-up call
- Prepare universes using the attachments to the audit engagement letter
- Review universes for completeness and accuracy prior to submission to CMS
- Submit Self-Disclosure to CMS about any known deficiencies

Audit Notification Phase (cont.)

- Book conference rooms for audit – 1 room per team
- Participate in webinar test with CMS
- Prepare any sample documentation requested in advance
- Utilize your CMS audit lead as a resource along the way

Audit Phase

- Actively note cited conditions during webinar sessions
- Ask questions about conditions if you do not understand
- Start developing corrective action plans for any conditions identified as potentially requiring Immediate Corrective Action (ICAR)

Post-Audit Phase

- Don't wait for the audit report to start developing corrective action plans for cited conditions
- Update any policies and procedures related to cited conditions
- Begin training your staff on changes made as a result of the audit

Post-Audit Phase (cont.)

- Conduct update training of CMS requirements
- Continue to monitor, identify, and address deficiencies

Resources

- HPMS
- www.CMS.gov Regulations & Guidance
- CMS Regional Office Account Manager
- CMS assigned Audit Lead
- part_c_part_d_audit_pcog@cms.hhs.gov
(part_c_part_d_audit_pcog@cms.hhs.gov)

Questions

