

**Audit Submission Checklist**

Engagement Letter Date:   
 Entrance Conference Date:   
 Enrollment Number:

Upload Level Association in HPMS	Upload File Type in HPMS	Audit Request Type	Audit Submission Name	Universe Period (only applicable for Universe request types)	Due Date	Insert Mark Upon Submission
Audit	Supplemental File	Documentation	Pre-Audit Issue Summary	(See Note Below***)	5 business days from engagement letter	
CPE	Universe File	Universe	Table 1: First Tier Entity Auditing and Monitoring (FTEAM)**		15 business days from engagement letter	
CPE	Universe File	Universe	Table 2: Employees and Compliance Team (ECT)**		15 business days from engagement letter	
CPE	Universe File	Universe	Table 3: Internal Auditing (IA)		15 business days from engagement letter	
CPE	Universe File	Universe	Table 4: Internal Monitoring (IM)		15 business days from engagement letter	
CPE	Supplemental File	Questionnaire	Compliance Officer Questionnaire (Attachment I-A)	N/A	15 business days from engagement letter	
CPE	Supplemental File	Presentation	Organizational Structure and Governance PowerPoint Presentation (Attachment I-B)	N/A	15 business days from engagement letter	
CPE	Supplemental File	Questionnaire	First-Tier Downstream and Related Entities (FDR) Oversight Questionnaire (Attachment I-C)	N/A	15 business days from engagement letter	
CPE	Supplemental File	Questionnaire	Special Investigation Unit/FWA Prevention and Detection Questionnaire (Attachment I-D)	N/A	15 business days from engagement letter	
CPE	Supplemental File	Documentation	Standards of Conduct/Code of Conduct document		15 business days from engagement letter	
CPE	Supplemental File	Documentation	Corporate Compliance/Medicare Compliance/FWA Plan		15 business days from engagement letter	
CPE	Supplemental File	Documentation	Formal Risk Assessments and Compliance Performance Mechanisms		15 business days from engagement letter	
CPE	Supplemental File	Documentation	Audit and Monitoring Work Plans		15 business days from engagement letter	
CPE	Universe File	Documentation	Tracer Summary 1	N/A	Date of Entrance Conference	
CPE	Universe File	Documentation	Tracer Summary 2	N/A	Date of Entrance Conference	
CPE	Universe File	Documentation	Tracer Summary 3	N/A	Date of Entrance Conference	
CPE	Universe File	Documentation	Tracer Summary 4	N/A	Date of Entrance Conference	
CPE	Universe File	Documentation	Tracer Summary 5	N/A	Date of Entrance Conference	
CPE	Universe File	Documentation	Tracer Summary 6	N/A	Date of Entrance Conference	
FA	Universe File	Universe	Table 1: Rejected Claims Formulary Administration (RCFA)		15 business days from engagement letter	
FA	Universe File	Universe	Table 2: Rejected Claims Transition - New Contract Year (RCT-N)		15 business days from engagement letter	
FA	Universe File	Universe	Table 3: Rejected Claims Transition - Previous Contract Year (RCT-P)		15 business days from engagement letter	
FA	Universe File	Universe	Table 4: Prescription Drug Event (PDE) Data		15 business days from engagement letter	
FA	Universe File	Universe	Table 5: New Member (NM) Record Layout		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 1: Standard Coverage Determinations (SCD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 2: Standard Coverage Determination Exception Requests (SCDER)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 3: Direct Member Reimbursement Request Coverage Determinations (DMRCD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 4: Expedited Coverage Determinations (ECD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 5: Expedited Coverage Determination Exception Requests (ECDER)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 6: Standard Redeterminations (SRD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 7: Direct Member Reimbursement Request Redeterminations (DMRRD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 8: Expedited Redeterminations (ERD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 9: Standard IRE, ALJ or MAC Determinations (SIAM)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 10: Direct Member Reimbursements decided by review entity other than sponsor (DMRRE)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 11: Expedited IRE, ALJ or MAC Determinations (EIAM)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 12: Standard Grievances Part D (SGD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 13: Expedited Grievances Part D (EGD)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 1: Standard Pre-service Organization Determinations (SOD)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 2: Expedited Pre-service Organization Determinations (EOD)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 3: Requests for Payment Organization Determinations (Claims)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 4: Direct Member Reimbursement Requests (DMR)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 5: Standard Pre-service Reconsiderations (SREC)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 6: Expedited Pre-service Reconsiderations (EREC)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 7: Requests for Payment Reconsiderations (PREC)		15 business days from engagement letter	

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ODAG	Universe File	Universe	Table 8: Pre-service IRE Cases Requiring Effectuation (IREEFF)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 9: IRE Payment Cases Requiring Effectuation (IREClaimsEFF)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 10: All Part C ALJ and MAC Cases Requiring Effectuation (ALJMACEFF)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 11: Part C Oral & Written Standard Grievances (GRV_S)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 12: Part C Oral & Written Expedited Grievances (GRV_E)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 13: Dismissals		15 business days from engagement letter	
SNP-MOC	Universe File	Universe	Table 1: Special Needs Plan Enrollees (SNPE)		15 business days from engagement letter	
SNP-MOC	Universe File	Universe	Table 2: Plan Performance Monitoring and Evaluation (PPME)		15 business days from engagement letter	
SNP-MOC	Supplemental File	Documentation	Approved Models of Care	N/A	15 business days from engagement letter	
SNP-MOC	Supplemental File	Documentation	Health Risk Assessment Tool(s)	N/A	15 business days from engagement letter	
SNP-MOC	Supplemental File	Documentation	Policies and Procedures for Administration of HRA, ICP, ICT, and care coordination	N/A	15 business days from engagement letter	
SNP-MOC	Supplemental File	Documentation	Policies and Procedures on the monitoring and evaluation of the MOC	N/A	15 business days from engagement letter	
SNP-MOC	Supplemental File	Documentation	Performance monitoring/evaluation reports	N/A	15 business days from engagement letter	
SNP-MOC	Supplemental File	Documentation	List of FDRs that assist with the MOC	N/A	15 business days from engagement letter	
SNP-MOC	Supplemental File	Documentation	SNP-MOC Questionnaire (Attachment V-A)	N/A	5 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 1: MMP Standard Service Authorization Requests (MSSAR)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 2: MMP Expedited Service Authorization Requests (MESAR)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 3: MMP Provider Payment Requests (M_Claims)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 4: MMP Standard Plan Level Appeals (MSPLA)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 5: MMP Expedited Plan Level Appeals (MEPLA)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 6: MMP State Fair Hearing Decisions Requiring Effectuation (M_SFHEFF)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 7: MMP IRE Cases Requiring Effectuation (M_IREEFF)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 8: MMP IRE Payment Cases Requiring Effectuation (M_IREClaimsEFF)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 9: MMP ALJ and MAC Cases Requiring Effectuation (M_ALJMACEFF)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 10: MMP Standard Grievances (MGRV_S)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 11: MMP Expedited Grievances (MGRV_E)		15 business days from engagement letter	
MMP-CCQIPE	Universe File	Universe	Table 1: Medicare-Medicaid Plan Members (MMPM)		15 business days from engagement letter	
MMP-CCQIPE	Universe File	Universe	Table 2: Quality Improvement Program Effectiveness (QIPE)		15 business days from engagement letter	
MMP-CCQIPE	Supplemental File	Documentation	CMS-Approved Health Risk Assessment Tool(s) used by the MMP	N/A	15 business days from engagement letter	
MMP-CCQIPE	Supplemental File	Documentation	Policies and Procedures for Administration of HRA, ICP, ICT, and care coordination	N/A	15 business days from engagement letter	
MMP-CCQIPE	Supplemental File	Documentation	Policies and Procedures on the monitoring and evaluation of the QIP	N/A	15 business days from engagement letter	
MMP-CCQIPE	Supplemental File	Documentation	Performance monitoring/evaluation reports	N/A	15 business days from engagement letter	
MMP-CCQIPE	Supplemental File	Documentation	List of FDRs that assist with MMP care coordination and QIP functions	N/A	15 business days from engagement letter	
MMP-CCQIPE	Supplemental File	Questionnaire	CCQIPE Supplemental Questions	N/A	5 business days from engagement letter	

\*Please name and upload all files listed as File Type "Supplemental File" using the Audit Submission Name shown above. Universe files do not need specific names, as the file will be renamed upon submission into HPMS.

\*\*Please refer to the [2020 Program Audit Process Overview](#) document for more detailed instructions regarding submission of this data collection instrument. The document may be accessed by typing in the following web address:

<https://www.cms.gov/Medicare/Compliance-and-Audits/Part-C-and-Part-D-Compliance-and-Audits/ProgramAudits>

\*\*\*Universe period is the same as that for the program area in which the issue is found.