

Audit Submission Checklist

Engagement Letter Date:
Entrance Conference Date:
MAPD Enrollment Number:
PDP Enrollment Number:
MA Enrollment Number:

Upload Level Association in HPMS	Upload File Type in HPMS*	Audit Request Type	Audit Submission Name	Review Period	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: Compliance Oversight Activities (COA)		15 business days from engagement letter	
CPE	Supplemental File	Questionnaire	Compliance Officer Questionnaire (CO-Q)***	N/A	15 business days from engagement letter	
CPE	Supplemental File	Presentation	Customized Organizational Structure and Governance PowerPoint Presentation (OPTIONAL for 2026)	N/A	15 business days from engagement letter	
CPE	Supplemental File	Questionnaire	First Tier, Downstream, and Related Entities Operations Oversight Questionnaire (FDR-Q)***	N/A	15 business days from engagement letter	
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 (RCT)		15 business days from engagement letter	
FA	Universe File	Universe	Table 4: New Enrollee (NE) Record Layout		15 business days from engagement letter	
FA	Supplemental File	Questionnaire	FA Supplemental Questionnaire	N/A	5 business days from engagement letter	
CDAG	Universe File	Universe	Table 1: Standard and Expedited Coverage Determinations (CD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 2: Standard and Expedited Coverage Determination Exception Requests (CDER)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 3: Payment Coverage Determinations and Redeterminations (PYMT D)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 4: Standard and Expedited Redeterminations (RD)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 5: Part D Effectuations of Overturned Decisions by IRE, ALJ, or MAC (EFF D)		15 business days from engagement letter	
CDAG	Universe File	Universe	Table 6: Part D Standard and Expedited Grievances (GRV D)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 1: Standard and Expedited Pre-service Organization Determinations (OD)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 2: Standard and Expedited Pre-service Reconsiderations (RECON)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 3: Payment Organization Determinations and Reconsiderations (PYMT C)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 4: Part C Effectuations of Overturned Decisions by IRE, ALJ, or MAC (EFF C)		15 business days from engagement letter	
ODAG	Universe File	Universe	Table 5: Part C Standard and Expedited Grievances (GRV C)		15 business days from engagement letter	
SNPCC	Universe File	Universe	Table 1: Special Needs Plans Enrollees (SNPE)		15 business days from engagement letter	
SNPCC	Supplemental File	Documentation	Approved Models of Care - <i>Not all are required, the SNP Team Lead will identify which MOC's to submit.</i>	N/A	15 business days from engagement letter	
SNPCC	Supplemental File	Questionnaire	SNPCC Questionnaire	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 must be submitted as a ZIP File type (.zip) and do not need specific names as the file will be renamed upon submission into HPMS.

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

*** All or part of the CO-Q and the FDR-Q may be requested as part of a 2026 program audit if CMS determines that the information would be useful during oversight discussions.

2026 Audit Documentation that will NOT be collected routinely

The following documentation is part of the OMB approved audit PRA package but will not routinely be collected on audit in 2026.

Sponsoring organizations do not need to prepare or submit the documentation below unless specifically instructed by CMS.

Program Area	Audit Request Type	Audit Documentation Name
CPE	Documentation	Standards of Conduct/Code of Conduct document
CPE	Documentation	Risk Assessments and Compliance Performance Mechanisms
CPE	Documentation	Audit and Monitoring Work Plans
CPE	Documentation	Tracer Summary 1
CPE	Documentation	Tracer Summary 2
CPE	Documentation	Tracer Summary 3
CPE	Documentation	Tracer Summary 4
CPE	Documentation	Tracer Summary 5
CPE	Documentation	Tracer Summary 6
FA	Universe	Table 3: Prescription Drug Event (PDE) Data
CDAG	Universe	Table 7: Comprehensive Addiction and Recovery Act (CARA) At-Risk Determination (AR)
ODAG	Universe	Table 6: Dual Special Needs Plan - Applicable Integrated Plan Reductions, Suspensions and Terminations (AIP)