**Instructions:** Provide a list of all disclosed issues of noncompliance that are relevant to the program areas and scope of universe being audited. A disclosed issue is one that has been reported to CMS prior to the date of the audit engagement letter. Issues identified by CMS through on-going monitoring or other account management/oversight activities during the plan year are not considered disclosed. This template is due within 5 business days after the receipt of the engagement letter. Please upload this completed spreadsheet to the HPMS Audit Module as follows: Data Upload tab, Level Association "Audit", File Type "Supplemental File", document name "Pre-audit Issue Summary".

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Issue number** | **Program Area Impacted** | **Description of the issue (explain what happened)** | **Root cause analysis of the issue (explain why it happened)** | **# of enrollees impacted** | **Date issue identified Submit in CCYY/MM/DD format (e.g., 2020/01/01)** | **Date issue disclosed to CMS Submit in CCYY/MM/DD format (e.g., 2020/01/01)** | **To whom the issue was disclosed**  **(first and last name)** | **Was the issue fully remediated in the Sponsoring organization's system and for enrollees?**  **Y/N** | **Description of system/operational remediation** | **Date system/operational remediation initiated Submit in CCYY/MM/DD**  **format (e.g., 2020/01/01)** | **Date system/operational remediation completed Submit in CCYY/MM/DD**  **format (e.g., 2020/01/01)** | **Description of remediation for negatively impacted enrollees** | **Date enrollee outreach and remediation initiated Submit in CCYY/MM/DD**  **format (e.g., 2020/01/01)** | **Date enrollee outreach and remediation completed**  **Submit in CCYY/MM/DD format (e.g., 2020/01/01)** |
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