

**Audit Submission Checklist**

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

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	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	
CPE	Supplemental File	Documentation	Standards of Conduct/Code of Conduct document		15 business days from engagement letter	
CPE	Supplemental File	Documentation	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 (RCT)		15 business days from engagement letter	
FA	Universe File	Universe	Table 3: Prescription Drug Event (PDE) Data	N/A	N/A	
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	
CDAG	Universe File	Universe	Table 7: Comprehensive Addiction and Recovery Act (CARA) At-Risk Determinations (AR)	N/A	N/A	
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	
ODAG	Universe File	Universe	Table 6: Dual Special Needs Plan - Applicable Integrated Plan Reductions, Suspensions and Terminations (AIP)	N/A	N/A	
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 MOCs 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	
MMP-SARAG	Universe File	Universe	Table 1: MMP Standard and Expedited Service Authorization Requests (M_SAR)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 2: MMP Standard and Expedited Plan Level Appeals (M_PLA)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 3: MMP Provider Payment Requests and Appeals (M_PYMT)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 4: MMP Effectuations of Overturned Decisions by IRE, SFH, ALJ, or MAC (M_EFF)		15 business days from engagement letter	
MMP-SARAG	Universe File	Universe	Table 5: MMP Standard and Expedited Grievances (M_GRV)		15 business days from engagement letter	
MMPC	Universe File	Universe	Table 1: Medicare-Medicaid Plan Enrollees (MMPE)		15 business days from engagement letter	
MMPC	Supplemental File	Questionnaire	MMPC Supplemental 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.

\*\*Please refer to the **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>

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

\*\*\*\*If 'Audit Type' noted above is **Focused**, include only 2024 Dates of Service in this record layout.