

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Pre-AuditIssueSummary.pdf	In the "Program Area Impacted" column, removed reference to MTM	Rev	MTM not included in this collection request.	No Change
Attachment_I-B_CPE_Compliance_Officer_Questionnaire_CO-Q.pdf	Added the following question: Please describe how you oversee the call routing process to ensure incoming requests are properly classified and processed in accordance with 42 CFR Parts 422 and 423 Subpart M requirements.	Add	With the removal of CDAG and ODAG call log universes, proper routing and follow up of calls will now be assessed through the CPE program. This question facilitates discussion between the compliance officer and CMS audit team.	No Change
Attachment_I-B_CPE_Compliance_Officer_Questionnaire_CO-Q.pdf	With removal of Attachment 1-A, CPE Self Assessment Questionnaire, we re-named/lettered the remaining CPE collection instruments. "Attachment_I-B_CPE_Compliance_Officer_Questionnaire_CO-Q" was renamed, "Attachment_I-A_CPE_Compliance_Officer_Questionnaire_CO-Q"	Rev	To allow for updated, sequential naming conventions.	No Change
Attachment_I-C_CPE_Organizational_Structure_Governance_PPT_Template.pdf	Page #6: Updated to reflect most current year examples (2018/2019)	Rev	Provide most up to date example	No Change
Attachment_I-C_CPE_Organizational_Structure_Governance_PPT_Template.pdf	Page #16: Removed bullet: Describe the approach and mechanisms used to monitor FDRs performance against contractual and regulatory requirements.	Del	Removed duplication of information collected via the FDR oversight questionnaire	No Change
Attachment_I-C_CPE_Organizational_Structure_Governance_PPT_Template.pdf	Page #16: Removed bullet: Describe how and when the sponsor checks its employees, board members and first-tier entities against the OIG and GSA exclusions databases.	Del	Information no longer needed.	No Change
Attachment_I-C_CPE_Organizational_Structure_Governance_PPT_Template.pdf	With removal of Attachment 1-A CPE Self Assessment Questionnaire, we re-named/lettered the remaining CPE collection instruments. "Attachment_I-C_CPE_Organizational_Structure_Governance_PPT_Template" was renamed, "Attachment_I-B_CPE_Organizational_Structure_Governance_PPT_Template"	Rev	To allow for updated, sequential naming conventions.	No Change
Attachment_I-D_CPE_FDR_Oversight_Questionnaire_FDR-Q.pdf	Corrected typo in question #5	Rev	Technical correction	No Change
Attachment_I-D_CPE_FDR_Oversight_Questionnaire_FDR-Q.pdf	With removal of Attachment 1-A CPE Self Assessment Questionnaire, we re-named/lettered the remaining CPE collection instruments. "Attachment_I-D_CPE_FDR_Oversight_Questionnaire_FDR-Q" was renamed, "Attachment_I-C_CPE_FDR_Oversight_Questionnaire_FDR-Q"	Rev	To allow for updated, sequential naming conventions.	No Change
Attachment_I-E_CPE_SIU_FWA_Questionnaire_FWA-Q.pdf	With removal of Attachment 1-A CPE Self Assessment Questionnaire, we re-named/lettered the remaining CPE collection instruments. "Attachment_I-E_CPE_SIU_FWA_Questionnaire_FWA-Q" was renamed, "Attachment_I-D_CPE_SIU_FWA_Questionnaire_FWA-Q"	Rev	To allow for updated, sequential naming conventions.	No Change
Attachment_I_CPE_AuditProcess_DataRequest.pdf	Within the tracer evaluation section, added guidance regarding the process of evaluating Employee and Compliance Team and First Tier Entity (ECT& FTE) samples.	Add	Addresses frequently asked questions from the industry.	No Change
Attachment_I_CPE_AuditProcess_DataRequest.pdf	Under Supporting Documentation within the Tracer Case Summary and Documentation Reviews section, removed the following bullet: Evidence of sponsor's monthly screening to identify employees and FDRs excluded by the Office of Inspector General (OIG) and General Services Administration (GSA).	Del	Information collection no longer needed.	No Change

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Attachment_I_CPE_AuditProcess_DataRequest.pdf	Within the Detection Controls and Activities section, removed the following compliance standard: Did the sponsor review the OIG and GSA exclusion systems, as required, to ensure that none of their employees or FDRs were excluded or became excluded from participation in federal programs.	Del	Information collection no longer needed.	No Change
Attachment_I_CPE_AuditProcess_DataRequest.pdf	Updated date examples throughout document (i.e., 2019).	Rev	To reflect the most current year.	No Change
Attachment_I_CPE_AuditProcess_DataRequest.pdf	Within Table 1, removed column: FTE Contract Effective Date and updated column letters through the remainder of the table.	Rev	Information collection no longer needed.	No Change
Attachment_I_CPE_AuditProcess_DataRequest.pdf	Clarified in the field descriptions of all program audit data requests that where "NA" applies, it should be listed as NA and not N/A.	Add	Technical correction.	No Change
Attachment_I_CPE_AuditProcess_DataRequest.pdf	Within Table 2, Column: Employee Type, updated the field description to add the following clarification: If an employee fills multiple roles (e.g., full-time employee and governing body member), identify all roles in this field separated by a forward slash (e.g., full-time/BOD).	Add	Allows sponsoring organization to provide greater detail in reporting employee roles.	No Change
Attachment_I_CPE_AuditProcess_DataRequest.pdf	In Tables 1, 3 and 4: Column: Compliance or FWA, added the following language to the description field: In situations where the activity can be both compliance and FWA related, sponsoring organizations should list "FWA" in the record layout and, during the universe validation process, the sponsoring organization can explain to the audit team which issues are related to both compliance and FWA.	Add	Further clarifies submission guidance.	No Change
Attachment_II_FA_AuditProcess_DataRequest.pdf	Updated date examples in the column descriptions, throughout document, to reflect the most current year (i.e., 2019 for prior year; 2020 for current)	Rev	To provide clearer example.	No Change
Attachment_II_FA_AuditProcess_DataRequest.pdf	Standardized the NDC field name and description across FA and CDAG universe tables.	Rev	To improve consistency in audit collection instruments	No Change
Attachment_II_FA_AuditProcess_DataRequest.pdf	Added the following instructions to Table 5: Include eligible members (including members enrolled in employer plans and Medicare-Medicaid Plans (MMPs)) for which the Sponsoring organization does not utilize prior claims history. In some cases, the Sponsoring organization may have the full claims history for the member from the most recent PBP, and thus, the Sponsoring organization may be able to determine new versus ongoing therapy. In this example, the member should not be included in the New Member Universe since they are determined to be a continuing member.	Add	Further clarifies submission guidance.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Renumbered the CDAG Tables sequentially. Previous CDAG Tables 11, 12, 13, 14 and 15 have been updated to Table numbers 9, 10, 11, 12 and 13 respectively. This edit is reflected throughout the document.	Red	Facilitates more logical flow of information.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated examples throughout the document to reflect the more current applicable time period (i.e., 2020).	Rev	To provide clearer example.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Standardized the NDC field name and description across FA and CDAG universe tables.	Rev	To create greater consistency across FA and CDAG universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Relettered Column IDs throughout the tables to account for removal of columns specified below.	Red	Facilitates more logical flow of information.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within the Universe Preparation & Submission section, in the timeliness table, updated the "compliance standard to apply" column for table 1 to remove the word "adjudication."	Rev	To better align with the Compliance Standard applicable to Table 4.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the Audit Elements section updated the total number of samples to reflect 65.	Rev	Correction of typo.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In Appendix A, removed reference to csv files.	Del	HPMS cannot accept files in the csv format.	No Change

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Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed references to withdrawn cases throughout protocol.	Del	Withdrawn cases are to be excluded from universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 1</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field. Removed "withdrawn" from the Column: Request Disposition description field.	Rev/Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from description field in Column: Was request denied for lack of medical necessity.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "or documented good faith attempt" from the Column: Date oral notification provided to enrollee description field.	Del	Simplified collection request by referring readers to this policy clarifying by visiting section 10.5.4 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance (issued February 2019) for more information on good faith efforts.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "or documented good faith attempt" from the Column: Time oral notification provided to enrollee.	Del	Simplified collection request by referring readers to this policy clarifying by visiting section 10.5.4 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance (issued February 2019) for more information on good faith efforts.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Time written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Time forwarded to IRE description field.	Del	Simplified collection request.	No Change

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Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 2</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field.	Rev	To improve consistency in audit collection instruments.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Added " and safety edit exception" to the description field of Column: Exception Type.	Add	Added to account for opioid requests.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For at-risk appeals; valid value is QL" from the Column: Formulary UM Exception Type description field.	Del	The at-risk appeals language had been added to this universe in error.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from the Column: Request Disposition description field.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from description field in Column: Was request denied for lack of medical necessity.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "or documented good faith attempt" from the Column: Date oral notification provided to enrollee description field.	Del	Simplified collection request by referring readers to this policy clarifying by visiting section 10.5.4 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance (issued February 2019) for more information on good faith efforts.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "or documented good faith attempt" from the Column: Time oral notification provided to enrollee.	Del	Simplified collection request by referring readers to this policy clarifying by visiting section 10.5.4 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance (issued February 2019) for more information on good faith efforts.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change

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Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Time written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Time forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 3</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field.	Rev	To improve consistency in audit collection instruments.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from the Column: Request Disposition description field.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Clarified the description in Column: Date reimbursement provided to read: Date check or reimbursement provided to the enrollee (i.e., mailed to the enrollee). Submit in CCYY/MM/DD format (e.g., 2020/01/01). Enter NRD if the request was approved but no reimbursement was due to the enrollee. Enter NP if the payment has not been issued at the time of the universe submission. Enter NA if the request was not approved.	Add	Provides greater clarity.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 4</b>			

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field.	Rev	To improve consistency in audit collection instruments.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from the Column: Request Disposition description field.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from description field in Column: Was request denied for lack of medical necessity.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "or documented good faith attempt" from the Column: Date oral notification provided to enrollee description field.	Del	Simplified collection request by referring readers to this policy clarifying by visiting section 10.5.4 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance (issued February 2019) for more information on good faith efforts.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Time written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Time forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 5</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field.	Rev	To improve consistency in audit collection instruments.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Added " and safety edit exception" to the description field of Column: Exception Type.	Add	Added to account for opioid requests.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For at-risk appeals; valid value is QL" from the Column: Formulary UM Exception Type description field.	Del	The at-risk appeals language had been added to this universe in error.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from the Column: Request Disposition description field.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from description field in Column: Was request denied for lack of medical necessity.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "or documented good faith attempt" from the Column: Date oral notification provided to enrollee description field.	Del	Simplified collection request by referring readers to this policy clarifying by visiting section 10.5.4 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance (issued February 2019) for more information on good faith efforts.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Time written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Time forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 6</b>			

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	To better align with regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field.	Rev	To improve consistency in audit collection instruments.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from the Column: Request Disposition description field.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Added clarification to Column: Was the request denied for lack of medical necessity? Clarifying that the request pertains to a coverage determination. Also removed: "Answer NA if the request was not denied (i.e., approved, auto-forwarded, dismissed...)" from the description field of this column.	Add/Delete		No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed column: If denied for lack of medical necessity, was the review completed by a physician?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Time forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 7</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field.	Rev	To improve consistency in audit collection instruments.	No Change



60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from the Column: Request Disposition description field.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Added clarification to Column: Was the request denied for lack of medical necessity? Clarifying that the request pertains to a coverage determination. Also removed: "Answer NA if the request was not denied (i.e., approved, auto- forwarded, dismissed, withdrawn)" from the description field of this column.	Rev/DeI	Provides greater clarity.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed column: If denied for lack of medical necessity, was the review completed by a physician?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Clarified the description in Column: Date reimbursement provided to read: Date check or reimbursement provided to the enrollee (i.e., mailed to the enrollee). Submit in CCYY/MM/DD format (e.g., 2020/01/01). Enter NRD if the request was approved but no reimbursement was due to the enrollee. Enter NP if the payment has not been issued at the time of the universe submission. Enter NA if the request was not approved.	Add	Provides greater clarity.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 8</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Within Field Name NDC, updated the description field.	Rev	To improve consistency in audit collection instruments.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "withdrawn" from the Column: Request Disposition description field.	Del	To align with the addition of withdrawn cases from the table's exclusion criteria.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Added clarification to Column: Was the request denied for lack of medical necessity? Clarifying that the request pertains to a coverage determination. Also removed: "Answer NA if the request was not denied (i.e., approved, auto- forwarded, dismissed, withdrawn)" from the description field of this column.	Add/DeI	Provides greater clarity.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed column: If denied for lack of medical necessity, was the review completed by a physician?	Del	Information collection no longer needed or captured elsewhere.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "or documented good faith attempt" from the Column: Date oral notification provided to enrollee description field.	Del	Simplified collection request by referring readers to this policy clarifying by visiting section 10.5.4 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance (issued February 2019) for more information on good faith efforts.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Time written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Date forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "For untimely decisions" from the Column: Time forwarded to IRE description field.	Del	Simplified collection request.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed Column: Date enrollee notified request has been forwarded to IRE.	Del	To better align with updated regulations.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 9</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 10</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Added the following clarification to the description field in Column: Date reimbursement provided: Date check or reimbursement provided to the enrollee (i.e., mailed to the enrollee). Submit in CCYY/MM/DD format (e.g., 2020/01/01). Enter NRD if the request was approved but no reimbursement was due to the enrollee. Enter NP if the payment has not been issued at the time of the universe submission. Enter NA if the request was not approved.	Add	Provides greater clarity.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 11</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 12</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	<b>Table 13</b>			
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	In the instructions, updated the exclusion criteria by adding withdrawn requests.	Add	Regulatory requirements do not address processing requirements for withdrawn cases in CDAG.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members in the universes.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Date written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_III_CDAG_AuditProcess_DataRequest.pdf	Removed "The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization" from the Column: Time written notification provided to enrollee description field.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated examples throughout the document to reflect the more current applicable time period (i.e., 2020).	Rev	To provide clearer example.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Relettered Column IDs throughout the tables to account for removal of columns specified below.	Red	Facilitates more logical flow of information.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within the Timeliness - Organization Determinations, Appeals and Grievances (TODAG) section: • simplified the list of screen shots and supporting documentation required for organization determinations and reconsideration under 2.1. • corrected the number of universes to reflect 12 and number of samples to reflect 60 under 3.1.	Del/Rev	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within the Appropriateness of Clinical Decision-Making & Compliance with Organization Determinations and Appeals Processing Requirements section, Corrected the typo number of sample case results under #4 to 35.	Rev	Based on a trend in sponsoring organizations' questions, we updated this information for accuracy.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within the Grievances and Misclassification of Requests section, removed language under 2.1 that referred to the acknowledgement of the receipt of grievances.	Del	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 1</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	In the instructions, added requests that do not require prior authorization to the exclusion criteria.	Add	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission; and extensions of previously approved services.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Request for expedited timeframe	Del	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 2</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	In the instructions, added requests that do not require prior authorization to the exclusion criteria.	Add	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission; and extensions of previously approved services.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Simplified collection request.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Subsequent expedited request	Del	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 3</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed from the exclusion criteria: Requests for extensions of previously approved services, concurrent review for inpatient hospital and SNF services, post-service reviews, and notifications of admissions.	Del	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	In Column: Date written notification provided to enrollee, removed: The term "provided" means when the EOB, IDN or letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	In Column: Date written notification provided to provider, removed: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 4</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	In the instructions, removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission; and extensions of previously approved services.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed extensions of previously approved services from the exclusion criteria.	Del	Clarified collection request.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Information collection no longer needed.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If request denied or untimely, date enrollee notified request has been forwarded to IRE.	Del	To align with updated regulations.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 5</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	In the instructions, removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission; and extensions of previously approved services.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed extensions of previously approved services from the exclusion criteria.	Del	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Information collection no longer needed.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Column: Was the request denied for lack of medical necessity to read: Was the organization determination denied for lack of medical necessity. Made corresponding change to the description field, specifying reference to the initial request and removing the option: Answer NA if the request was approved.	Rev	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If the request was denied for lack of medical necessity, was the reconsideration completed by a physician other than the person involved in making the initial OD?	Del	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Date oral notification provided to enrollee	Del	Simplified collection request and aligned tables to mirror regulation requirements.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee/provider, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee/provider, updated the description field by adding the phrase: if the decision was favorable.	Rev	To better align with updated regulations.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If request denied or untimely, date enrollee notified request has been forwarded to IRE.	Del	To align with updated regulations.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 6</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	In the instructions, removed the following exclusion criteria: Requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission; and extensions of previously approved services.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed extensions of previously approved services from the exclusion criteria.	Del	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Information collection no longer needed.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Column: Was the request denied for lack of medical necessity to read: Was the organization determination denied for lack of medical necessity. Made corresponding change to the description field, specifying reference to the initial request and removing the option: Answer NA if the request was approved.	Rev	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If the request was denied for lack of medical necessity, was the reconsideration completed by a physician other than the person involved in making the initial OD?	Del	Simplified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date oral notification provided to enrollee, updated the description field by adding the phrase: if the decision was favorable.	Rev	Updated table instructions to mirror regulation requirements.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Time oral notification provided to enrollee, updated the description field by adding the phrase: if the decision was favorable.	Rev	Updated table instructions to mirror regulation requirements.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee, updated the description field by adding the phrase: if the decision was favorable.  Also removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization. Also clarified: answer NA if denied or no written notification was provided.	Add/De I/Rev	Simplified collection request to mirror regulation requirements.  Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Time written notification provided to enrollee, updated the description field by adding the phrase: if the decision was favorable. Also clarified: answer NA if denied or no written notification was provided.	Add/Rev	To better align with regulatory requirements.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date forwarded to IRE if denied or untimely, added the following clarification in the description field: Answer NA if the request was favorable or was not forwarded to the IRE.	Add	To better align with regulatory requirements.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed column: If request denied or untimely, date enrollee notified request has been forwarded to IRE.	Del	To align with updated regulations.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 7</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed extensions of previously approved services from the exclusion criteria.	Del	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Information collection no longer needed.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Column: Date the reconsideration request was paid or denied to read "Date the reconsideration request was paid." Made corresponding edit to the description field, removing the phrase: "or the date the denied claim was upheld, which may be the IRE auto-forward date". The updated clarification now reads: Date the reconsideration request was paid. Submit in CCYY/MM/DD format (e.g., 2020/01/01). Sponsors should answer NA for untimely cases that are still open.	Rev	Clarified the information needed.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Column: Was the request denied for lack of medical necessity to read: Was the organization determination denied for lack of medical necessity. Made corresponding change to the description field, specifying reference to the initial request and removing the option: Answer NA if the request was approved.	Rev	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: If denied for lack of medical necessity, was the review completed by a physician or other appropriate health care professional?	Del	Information collection no longer needed or captured elsewhere.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to provider, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to provider, revised the last sentence of the description field to read: Answer NA if no written notification was provided.	Rev	Simplified description.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 8</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed extensions of previously approved services from the exclusion criteria.	Del	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Information collection no longer needed.	No Change



60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to IRE, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 9</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed extensions of previously approved services from the exclusion criteria.	Del	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Information collection no longer needed.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to IRE, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 10</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed extensions of previously approved services from the exclusion criteria.	Del	Clarified collection request.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed Column: Level of service	Del	Information collection no longer needed.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Request for expedited timeframe, increased the field length from 1 to 2.	Rev	Correction of error in character count.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to IRE, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 11</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed the following from the exclusion criteria: <ul style="list-style-type: none"> <li>• requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.</li> <li>• requests for extensions of previously approved services, concurrent review for inpatient hospital and SNF services, post-service reviews, and notifications of admissions.</li> </ul>	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification of resolution provided to enrollee, removed the language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 12</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Added withdrawn requests to the exclusion criteria.	Add	Regulatory requirements do not address processing requirements for withdrawn cases.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Removed the following from the exclusion criteria: requests that require an AOR (or other conforming instrument) but the AOR has not been received as of the date of the universe submission.	Del	Provides greater clarity/reduces confusion.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification of resolution provided to enrollee, removed the following language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	<b>Table 13</b>			
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Attachment_IV_ODAG_AuditProcess_DataRequest.pdf	Within Column: Date written notification provided to enrollee/provider, removed the following language: The term "provided" means when the letter left the sponsor's establishment by US Mail, fax, or electronic communication. Do not enter the date a letter is generated or printed within the sponsor's organization.	Del	Simplified collection request by referring readers to section 10.5.3 of the Parts C & D Enrollee Grievances, Organization/Coverage Determinations, and Appeals Guidance issued in February, 2019, for information on when a notification is considered delivered by a sponsoring organization.	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Updated the Review Period within the Audit Purpose and General Guidelines section of the SNP-MOC protocol to read, "(for example, for an engagement letter sent on March 9, 2020, the universe review period would be February 1, 2019 through March 9, 2020)."	Rev	To provide clearer example.	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Within the Universe Preparation and Submission section, updated the reference to the Special Needs Plan Enrollees (SNPE) Record Layout (Table 1) to read SNPE instead of PE.	Rev	Corrects typo	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Within the Universe Preparation and Submission section and Appendix A, clarified the following: Sponsoring organizations should submit each universe in the Microsoft Excel (.xlsx) file format with a header row (or Text (.txt) file format without a header row) following the record layouts shown in Appendix A, Tables 1 and 2."	Rev	Clarifies acceptable submission formats.	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	In section Care Coordination, within the apply compliance standard section, added the following: CMS will defer to regulatory requirements in absence of an applicable clause in the MOC.	Add	Clarifies CMS audit guidelines	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Removed "and CMS requirements" from the end of compliance standard 2.5.1 and reworded the compliance standard to read: 2.5.1. Did the personnel who reviewed, analyzed, developed and implemented the HRA and ICP possess appropriate professional knowledge and credentials, as defined in the MOC?	Rev	Provide greater consistency with other compliance standards, clarifies CMS' intent to assess the requirement for both the ICP and the HRA.	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Removed compliance standard 2.5.2 and renumbered two remaining compliance standards accordingly.	Del	Information collection no longer needed	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Revised Administrative Processes & Training/Credentialing compliance standard to read: Have all members of the sponsoring organization's staff (employed, contracted, or non-contracted) that serve on the ICT received training on the SNP plan model of care to coordinate and/or deliver all services and benefits?	Rev	Clarifies compliance standard	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Updated Field Name: Cardholder ID to Enrollee ID and updated the corresponding description field. Made aligning edit to the Field Length of this column changing it from 20 to 11.	Rev	Promotes greater clarity and consistency in the way plans identify their members' in the universes.	No Change
Attachment_V_SNP-MOC_AuditProcess_DataRequest.pdf	Updated example years in descriptions.	Rev	Provides more up to date examples.	No Change
NA	NEW-- Included SNPCC Supplemental Questionnaire in this collection request.	Add	Allow sponsoring organizations the flexibility to provide the content of this questionnaire in written format instead of previously collected verbal input.	No Change
FA_ImpactAnalysis_.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
FA_ImpactAnalysis_.pdf	Added new column "Medicare Beneficiary Identifier"	Add	To better align with the format in the protocol universe tables.	No Change
CDAG_CDM_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
CDAG_CDM_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
CDAG_GRV_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
CDAG_GRV_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
ODAG_CDM_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
ODAG_CDM_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
ODAG_CDM_Impact.pdf	Removed column: Level of service (e.g., inpatient/outpatient/ER/urgent care)	Del	To align with removal of the same column from the protocol.	No Change
ODAG_CDM_Impact.pdf	Removed column: If request denied or untimely, date enrollee notified request has been forwarded to IRE.	Del	To align with updated regulations.	No Change
ODAG_DIS_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
ODAG_DIS_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
ODAG_GRV_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
ODAG_GRV_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
ODAG_PMNT_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
ODAG_PMNT_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
ODAG_PMNT_Impact.pdf	In column: Issue Description -- List type of service (e.g., SNF/HH/PT/OT) and level of service (e.g., inpatient/outpatient/ER/urgent care); Removed "and level of service (e.g., inpatient/outpatient/ER/urgent care)"	Del	To align with removal of the Level of Service column from the protocol.	No Change
SNP-MOC_ICP ICT_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
SNP-MOC_ICP ICT_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
SNP-MOC_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
SNP-MOC_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
SNP-MOC_Training_Impact.pdf	Updated date format from MM/DD/YY to CCYY/MM/DD throughout	Rev	To better align with the format in the protocol universe tables.	No Change
SNP-MOC_Training_Impact.pdf	Updated "Cardholder ID" to "Enrollee ID"	Rev	To align with updates to the protocol universe tables.	No Change
Supporting Statement A	Updated the notes section to simplify the history of recent, related program audit collection requests. Focus on the August 16, 2019 collection request as compared to this request.	Rev	Details regarding OMB-10938-NEW are available with that separate collection request.	No Change
Supporting Statement A	Updated the background section to provide a high level summary of changes since the August 16, 2019 collection request. Details of those changes are summarized more fully throughout this crosswalk.	Rev	Orients readers to key changes in this collection request.	No Change
Supporting Statement A	Updated Section 8: Federal Register: Included the Federal Register citation for the 60-day notice and summary of the number of public comments.	Add	Self explanatory.	No Change
Supporting Statement A	Updated Section 12: Burden Estimates (Hours & Wages): Clarified that no changes were made to the burden of this collection request.	Add	Self explanatory.	No Change

60 day package	30 day package	Type of Change*	Reason for Change	Burden Change
Supporting Statement A	Updated Section 12: Burden Estimates (Hours & Wages)- Within the Attachments (Routine Audits) Section: Removed the following instruments: <ul style="list-style-type: none"> <li>• Attachment_I-A_CPE_Self-Assessment_Questionnaire_SA-Q;</li> <li>• Attachment_III-A_CDAG_SupplementalQuestions;</li> <li>• Attachment_IV-A_ODAG_SupplementalQuestionnaire;</li> <li>• Attachment_VI_MTM_AuditProcess_DataRequest;</li> <li>• MTM_ImpactAnalysis</li> <li>• Audit Survey</li> </ul>	Del	As explained in the 60-day collection request, we had proposed to remove these instruments. Therefore, they are no longer listed in the summary table of instruments that are a part of this package. Note: The Audit Survey has been removed from this summary table to better align with the 60-day collection request package where it had not been included given that it is an optional collection.	No Change
Supporting Statement A	Updated Section 12: Burden Estimates (Hours & Wages)- Within the Attachments (Routine Audits) Section: Added the following instruments: <ul style="list-style-type: none"> <li>• ODAG Payment Impact Analysis</li> <li>• SNP MOC Training Impact Analysis</li> <li>• SNP Care Coordination Questionnaire</li> </ul>	Add	The two impact analyses were correctly identified in the section 17 of the 60-day collection request but had been inadvertently omitted from the table in section 12. Because some sponsoring organizations preferred to provide, in written format, the SNP information previously collected orally, we have included this questionnaire in our collection request.	No Change
Supporting Statement A	Updated Section 14: Cost to Federal Government: Clarified that no changes were made to the cost estimates.	Add	Self explanatory.	No Change
Supporting Statement A	Updated Section 15: Changes to Burden: Clarified that no changes were made to the overall burden.	Add	Self explanatory.	No Change
Supporting Statement A	Updated Section 17: Expiration Date: Added the SNP-MOC Questionnaire to the list of instruments that will include the expiration date of this collection request. Removed the summary of the 5 documents that have been removed from the collection request.	Rev	Better reflects the content of this proposed collection request.	No Change

\*Type of Change: Rev = Revision, Del = Deletion, Add = Addition, and Red = Redesignation