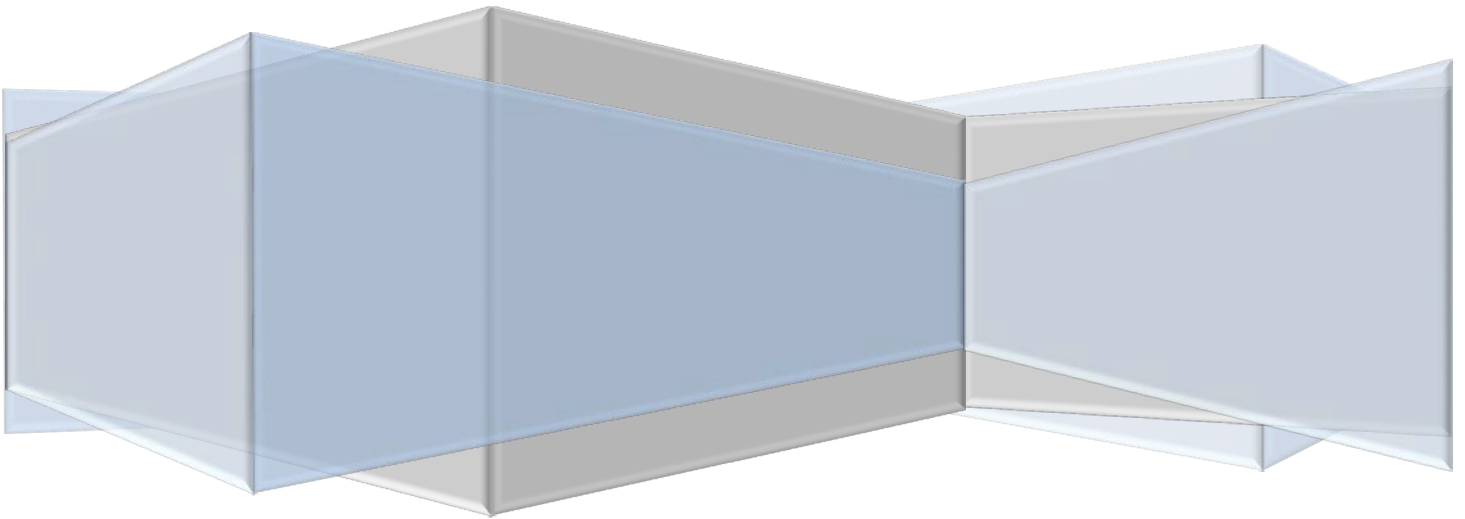


Programs of All-Inclusive Care for the Elderly (PACE)

Audit Survey



PACE Audit Survey

The following survey is voluntary and anonymous. The survey is organized according to pre-audit, audit, and post-audit activities. CMS utilizes survey feedback to improve the audit process.

Audit Year (enter the calendar year your organization was audited):

Pre-Audit Activities

1. How easy was it to follow CMS' documentation and universe submission instructions?

1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Not Easy

Easy

Very Easy

2. Did you find the information provided in the follow-up call after the audit engagement letter helpful?

☐ Yes

☐ No

3. Was the Audit Lead available to answer questions prior to the audit?

1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Not Available

Available

Always Available

4. How helpful was the Audit Lead in assisting your organization with pre-audit processes such as documentation submission and universe preparation?

1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Not Helpful

Helpful

Very Helpful

5. How many and what types of staff (e.g., administrative, analyst) were responsible for collecting, reviewing, and submitting data prior to audit fieldwork?

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6. How many hours do you estimate staff spent collecting, reviewing, and submitting data prior to audit fieldwork? If multiple staff members were involved, please list each staff type separately along with the associated hours.

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7. What aspect of the data submission process did your organization spend the most time on (please be specific)?

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8. Was the timeframe for submitting documentation and data during the pre-audit portion of the audit adequate?

1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Not Adequate

Adequate

Very Adequate

Audit Activities

1. How well did the auditor(s) explain the purpose of the RCA(s) and how to complete them. **Enter NA if no RCAs were requested.**

NA	1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Needs Improvement

Explained Adequately

Explained Very Well

2. How many and what types of staff (e.g., administrative, analyst) were responsible for collecting, reviewing, and submitting data from the start of audit fieldwork through the submission of RCAs or through the exit conference if no RCAs were requested?

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3. How many hours do you estimate staff spent collecting, reviewing, and submitting data from the start of audit fieldwork through the submission of RCAs or through the exit conference if no RCAs were requested? If multiple staff members were involved, please list each staff type separately along with their associated hours.

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4. Was the timeframe adequate for submitting documentation and data from the start of audit fieldwork through the submission of RCAs or through the exit conference if no RCAs were requested?

1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Not Adequate

Adequate

Very Adequate

5. Did the audit team members request one or more Impact Analyses? If so, how well did the auditor(s) explain the purpose of the Impact Analyses and how to complete them? **Enter NA if no Impact Analyses were requested.**

NA	1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Needs Improvement

Explained Adequately

Explained Very Well

6. In order to complete the requested Impact Analyses (**skip this section or enter NA if no Impact Analyses were collected**):

- a. How many and what types of staff (e.g., administrative, analyst) were involved with completing the requested Impact Analyses?

- b. How many hours do you estimate it took to complete the requested Impact Analyses? If multiple staff members were involved, please list each staff type separately along with their associated hours.

7. During the exit conference, did your organization have a clear understanding of all issues of non-compliance being cited and why they were being cited?

- ☐ Yes
☐ No

8. If you responded No, which issues of non-compliance did you not understand and what information was lacking (you may enter any numeric identifier of the issue of non-compliance cited in your audit report or provide a brief description of the issue)?

Post-Audit Activities

1. How easy was it to understand the Audit Reports?

1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Not Easy

Easy

Very Easy

2. How many and what types of staff (e.g., administrative, analyst) were involved in collecting, reviewing, and submitting data following issuance of the Final Audit Report? **Enter NA if no data was submitted following the Final Audit Report.**

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3. How many hours do you estimate staff spent collecting, reviewing, and submitting data following issuance of the Final Audit Report? If multiple staff members were involved, please list each staff type separately along with their associated hours. **Enter NA if no data was submitted following the Final Audit Report.**

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4. Was the timeframe adequate for submitting documentation and data following issuance of the Final Audit Report? **Enter NA if no data was submitted following the Final Audit Report.**

NA	1	2	3	4	5	6	7	8	9	10
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Not Adequate

Adequate

Very Adequate

General Audit Questions

1. Please identify ways you believe we can improve any phase of the audit or the overall audit process (e.g., increased education, communication).

2. Please explain how your organization ensures they are audit ready prior to receiving an engagement letter (e.g., reviewing the audit protocol, routine mock audits, practice compiling universes).

3. Please explain what publicly available information was or would be the most useful to your organization when preparing for an audit.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-1327. This information collection will allow CMS to conduct comprehensive reviews of PACE organizations to ensure compliance with regulatory requirements. The time required to complete this information collection is estimated at 671 per response, including the time to review instructions, search existing data resources, gather the data needed, to review and complete the information collection. This information collection is mandatory per CMS's authority under Section 1894 and 1934 of the Social Security Act and implementing regulations at 42 CFR § 460.190 and 460.194, which state that CMS, in conjunction with the State Administering Agency (SAA), audit PACE organizations (POs) annually for the first 3 contract years (during the trial period), and then on an ongoing basis following the trial period. Additionally, per § 460.200(a) PACE organizations are required to collect data, maintain records, and submit reports as required by CMS and the State administering agency. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.