

Audits, Inspections, And Reports

1.0 GENERAL

1.1 TRICARE Management Activity (TMA) requires the contractor to prepare and submit routine workload and management reports used to establish a uniform format for recording data on contractor operations and to provide historical data for continued evaluation of contractor performance. While the data contained in the reports are essential to TMA for purposes of program management, they are equally essential for a contractor's management of the program. A contractor is accountable for assuring that reports contain accurate and complete data. Each contractor shall prepare written procedures describing the source of information as well as the specific steps followed in the collection and preparation of data for each report. In addition, the contractor shall establish a Quality Assurance (QA) program to assure a high degree of reporting accuracy. All reports must be supported with sufficient documentation and audit trails by the contractor for TMA on-site and desk audit inspections. All plans, reports, etc. shall be titled as listed here. For reports where there is no data to report, the contractor shall submit a report indicating no data.

1.2 Unless otherwise specified, contractors shall electronically submit all contract plans, reports, etc. in Microsoft Office XP. All plans, reports, etc. shall be submitted to TMA via the E-commerce Extranet (<https://tma-ecomextranet.ha.osd.mil>). This system permits the contractor to log on to a secure system and upload the required documents. Access to the extranet must be requested using the E-commerce Extranet Access Form which will be provided by the government. The system is accessed via the Internet through a workstation browser. The application is "thin client" meaning that no software needs to be installed on the client workstation and that no software is downloaded into the browser. Javascript and cookies need to be enabled in the browser to utilize the application. The application is best viewed at a resolution of 1024 X 768 pixels in an Internet Explorer (IE) browser. The system must be accessed using the Secure Socket Layer (SSL) protocol (<https://>) and is protected by individually assigned username and password. While files are being submitted over the Internet they are encrypted within the secure layer. When files are stored on the TRICARE server, they are renamed with a randomly generated name of varying length. Access to information is granted to users at the contract level. Information submitted by one contractor will not be accessible to any other contractor.

2.0 AUDITS AND INSPECTIONS

The contractor shall follow the requirements for audits and inspections as shown in [Chapter 14, Section 1](#).

3.0 TRANSITION REPORTS

3.1 Incoming Contractor Weekly Status Report

The contractor shall follow the requirements as stated in [Section 5, paragraph 2.4](#).

3.2 Outgoing Contractor Weekly Status Report

The contractor shall follow the requirements as stated in [Section 5, paragraph 4.3.7](#).

4.0 WEEKLY REPORTS

4.1 Claims Processing Statistics Report

This report shall be submitted to TMA, by noon, Mountain Time (MT) of the first workday of the week following the week reported. The following data shall be reported:

Claims (sorted by aging category)

- opening,
- pending,
- new receipts,
- adjustments identified,
- transfers,
- claims processed,
- adjustments processed,
- closing pending claims,
- closing pending adjustments, and
- ending inventory total

4.2 Claims Aging Report By Status Location

The contractor shall follow the requirements as stated in the contract.

5.0 MONTHLY REPORTS

5.1 Health Insurance Portability and Accountability Act (HIPAA) Privacy Complaint Report

The contractor shall follow the requirements as stated in [Chapter 19, Section 3, paragraph 2.5](#).

5.2 Toll-Free Telephone Report

The contractor shall follow the requirements as stated in the contract.

5.3 Financial Reports

5.3.1 Beneficiary and Provider Satisfaction Report

No later than the 10th calendar day following the end of the reported month, the contractor shall electronically submit a report to the Procuring Contracting Officer (PCO) and the

Contracting Officer's Representative (COR) on the state of beneficiary and provider satisfaction during the previous reporting period. The report shall address separately of both beneficiary satisfaction and provider satisfaction and contain the contractor's measurement and calculation of satisfaction. For any negative trends, the contractor shall describe what actions are being taken to mitigate further negative trends.

5.4 Beneficiary Service Report

The contractor shall follow the requirements as stated in the contract.

5.5 Monthly Workload Report

The contractor shall submit to the TMA, Claims Operations Branch and the TRICARE Regional Director, a TRICARE Contractor Monthly Workload Report, TMA Form 742. The report will cover the period beginning on the first day of the report month, and ending on the last day of the report month. (Separate data for each state within the contractor's jurisdiction is not required on a monthly basis, but must be available upon request from TMA.) The Monthly Workload Report is due on the 45th calendar day following the start date of the contract and then on the 15th calendar day of each month (or the first workday following the 15th calendar day if the 15th is not a business day) following the report period throughout the duration of the contract. Any adjustments to previously submitted data require an explanation of the differences, including the cause, either in the "Remarks" section or in a separate report. At the discretion of TMA, or as required by law, contractor performance statistics contained in this report may be released to the public. The contractor shall follow the instructions for preparation as stated in the contract requirements.

5.6 Monthly Cycle Time/Aging Report

The contractor shall submit to the TMA, Claims Operations Branch and the TRICARE Regional Director, a TRICARE Contractor Monthly Cycle Time/Aging Report, TMA Form 743. The report will cover the period beginning on the first day of the report month, and ending on the last day of the report month. (Separate data for each state within the contractor's jurisdiction is not required on a monthly basis, but must be available upon request from TMA.) The Cycle Time/Aging Report is due on the 45th calendar day following the start date of the contract and then on the 15th calendar day of each month (or the first workday following the 15th calendar day if the 15th is not a business day) following the report period throughout the duration of the contract. Any adjustments to previously submitted data require an explanation of the differences, including the cause, either in the "Remarks" section or in a separate report. At the discretion of TMA, or as required by law, contractor performance statistics contained in this report may be released to the public. The contractor shall follow the instructions for preparation as stated in the contract requirements.

6.0 QUARTERLY REPORTS

6.1 Fraud And Abuse Summary Report

The contractor shall follow the requirements as stated in the contract.

6.2 Congressional Visit Summary Report

The contractor shall follow the requirements as stated in the contract.

6.3 Claims Audit Report

The contractor shall follow the requirements as stated in the contract.

7.0 SEMIANNUAL/ANNUAL REPORTS

7.1 Internal Quality Management (IQM)/Quality Improvement (QI) Report

The contractor shall report to the COR any updates or changes to the program, problems identified and corrective actions planned/initiated and the month in which the action occurred. All updates or changes to the program are to be submitted within 20 calendar days of the update or change. If there have been no changes/corrective actions then a negative submission is due 30 calendar days following the end of each contract option period.

7.2 Fraud Prevention Savings Report

The contractor shall submit a Fraud Prevention Savings Report. This report shall be submitted No Later Than (NLT) 30 calendar days after the end of the calendar year as stated in [Chapter 13, Section 5](#).

7.3 Federal Medical Care/Third Party Liability (TPL) Recovery Claims Report

The contractor shall follow the requirements as stated in [Chapter 10, Section 5, paragraph 8.0](#).

7.4 Annual Risk Assessment Letter of Assurance

The contractor shall follow the requirements as stated in [Chapter 19, Section 3, paragraph 2.2.3](#).

8.0 SPECIAL REPORTS

8.1 Quality Control (QC) Program

The contractor shall follow the requirements as stated in [Chapter 1, Section 4](#).

8.2 IQM/Quality Improvement Program (QIP)

The contractor shall submit an [IQM/QIP Plan](#) to the COR within 30 calendar days of award.

8.3 IQM/QI Report

The contractor shall submit an Internal Quality Management/Quality Improvement Report to the COR within 10 calendar days following the reported month of problems identified and corrective actions planned/initiated.

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