DHA UBO Compliance Management Program

Presented by: Rob Echavarria, Ben Rosenthal, &
St. Aubyn Bailey

April 9, 2026

Agenda

- Introduction
- Program Overview
- UBO Roster
- Compliance Sampling
- Compliance Audit Checklist
- Dashboard
- Resources

Compliance Program Overview

- The **DHA UBO Compliance Program** standardizes internal controls and processes across all Military Treatment Facilities (MTFs). It ensures consistency, accountability, and audit readiness across the Enterprise.
- Core Components:
  - **DHA UBO Compliance Plan:** Enterprise policy and framework.
  - **DHA UBO Compliance Audit Checklist:** Quarterly audit and internal control review tool.
- All MTFs now operate under a single standardized compliance framework.

Enterprise Compliance Program

- The DHA UBO Compliance Program:
  - **Aligns** with DHA Audit Response and Remediation initiatives.
  - **Identifies** UBO program risks, weakness, and opportunities for improvement.
  - **Focuses** on uniform guidance for UBO-owned billing and accounting activities.
  - **Replaces** local compliance plans into one Enterprise plan.
  - **Replaces** local Compliance Committee requirement with UBO's attendance to established monthly Data Quality Assurance Team (DQAT) meetings.
  - **Supports** resolution of findings from Department of Defense (DoD) Financial Audit, Government Accountability Office (GAO), DoD Office of Inspector General (DoDIG).

DHA UBO Compliance Program Schedule

- DHA UBO will send a courtesy e-mail to all MTF UBO Roster Point of Contact (POC) with a reminder of the starting quarter and ETMS2 tasker information.
- Quarterly Taskers – Submission via
  - DHA UBO Roster Quarterly Updates – Microsoft Form
  - DHA UBO Compliance Sampling – DoD SAFE (Encrypted*)
  - DHA UBO Compliance Audit Checklist – DHA UBO Compliance Audit Checklist Portal (Power App)

Reporting Quarter	Data Months	Start Date (Distribution Deadline)	Compliance Sampling Suspense Date (approx.)	UBO Roster Suspense Date (approx.)	Checklist Suspense Date (approx.)	Checklist Corrective Action Completion Deadline
Q1	OCT, NOV, DEC	Jan 1	Feb 1	Feb 15	Feb 15	Jun 30
Q2	JAN, FEB, MAR	Apr 1	May 1	May 15	May 15	Sep 30
Q3	APR, MAY, JUN	Jul 1	Aug 1	Aug 15	Aug 15	Dec 31
Q4	JUL, AUG, SEP	Oct 1	Nov 1	Nov 15	Nov 15	Mar 31

DHA UBO Roster Quarterly Updates

- The DHA UBO Roster is the centralized location for all MTF UBO POC information.
- The purpose of this tasker is to maintain accurate MTF UBO POCs for e-mails, notifications, and support.
- **MTF UBOs must ensure their site's POC information is up to date** and send in change requests as staffing changes occur as well as during the Quarterly DHA UBO Roster Update Tasker.
  - NOTE: Submitted updates are applied and will be reflected on the roster at the close of each tasker.
  - NOTE: Addition of MTF Audit POC

DHA UBO Compliance Sampling

- Each quarter, MTFs will provide Key Supporting Documents (KSDs) in addition to the quarterly submission via **Compliance Sampling.**
  - These are the primary documents relevant to the questions being addressed within the checklist.
  - Separate communication via ETMS2 and a courtesy email will be sent to the Defense Health Networks (DHNs) and their assigned sampling category.
  - MTF UBOs must submit KSD sample requests **no later than the 1st day of the second month of each quarter** (Feb 1 / May 1 / Aug 1 / Nov 1).
  - Samples must be submitted via DoD SAFE and encrypted with a passphrase.
    - ✓ This passphrase must be sent to the Compliance Management org box following the submission of the drop-off request.
    - ✓ Please do not upload the samples to SharePoint or embed in your checklist.

Sample Category Assignments by Quarter

- Sample category assignments are on a **rotating schedule by DHN.**

DHA UBO Compliance Sampling Schedule
for Key Supporting Documents (KSD)

Q1	AAMUR	Q1	MACE	Q1	DQAT/D-Codes	Q1	Encounter
Q2	MACE	Q2	DQAT/D-Codes	Q2	Encounter	Q2	AAMUR
Q3	DQAT/D-Codes	Q3	Encounter	Q3	AAMUR	Q3	MACE
Q4	Encounter	Q4	AAMUR	Q4	MACE	Q4	DQAT/D-Codes
Network		Network		Network		Network	
Europe		Atlantic		Central		Continental	
Indo-Pacific		East					
NCR		West					
Pacific Rim							

- The following sampling categories are:
  - ABACUS Account Management and User Recertification (AAMUR)
  - Supervisory Review of Medical Adjustments, Corrections, and Edits (MACE)
  - Monthly Data Quality Assurance Team (DQAT) attendance
  - Encounter Samples

Determining Sample Category Assignment

Locate your DHN

DHA UBO Compliance Sampling Schedule for Key Supporting Documents (KSD)							
Q1	AAMUR	Q1	MACE	Q1	DQAT/D-Codes	Q1	Encounter
Q2	MACE	Q2	DQAT/D-Codes	Q2	Encounter	Q2	AAMUR
Q3	DQAT/D-Codes	Q3	Encounter	Q3	AAMUR	Q3	MACE
Q4	Encounter	Q4	AAMUR	Q4	MACE	Q4	DQAT/D-Codes
Network		Network		Network		Network	
Europe		Atlantic		Central		Continental	
Indo-Pacific		East		-		-	
NCR		West		-		-	
Pacific Rim		-		-		-	

Determining Sample Category Assignment (continued)

Locate the <u>current reporting quarter</u> above your DHN

DHA UBO Compliance Sampling Schedule
for Key Supporting Documents (KSD)

Q1	AAMUR	Q1	MACE	Q1	DQAT/D-Codes	Q1	Encounter
Q2	MACE	Q2	DQAT/D-Codes	Q2	Encounter	Q2	AAMUR
Q3	DQAT/D-Codes	Q3	Encounter	Q3	AAMUR	Q3	MACE
Q4	Encounter	Q4	AAMUR	Q4	MACE	Q4	DQAT/D-Codes
Network		Network		Network		Network	
Europe		Atlantic		Central		Continental	
Indo-Pacific		East					
NCR		West					
Pacific Rim							

Determining Sample Category Assignment (continued)

Example:

DHN Europe → FY26 Q2 → MACE

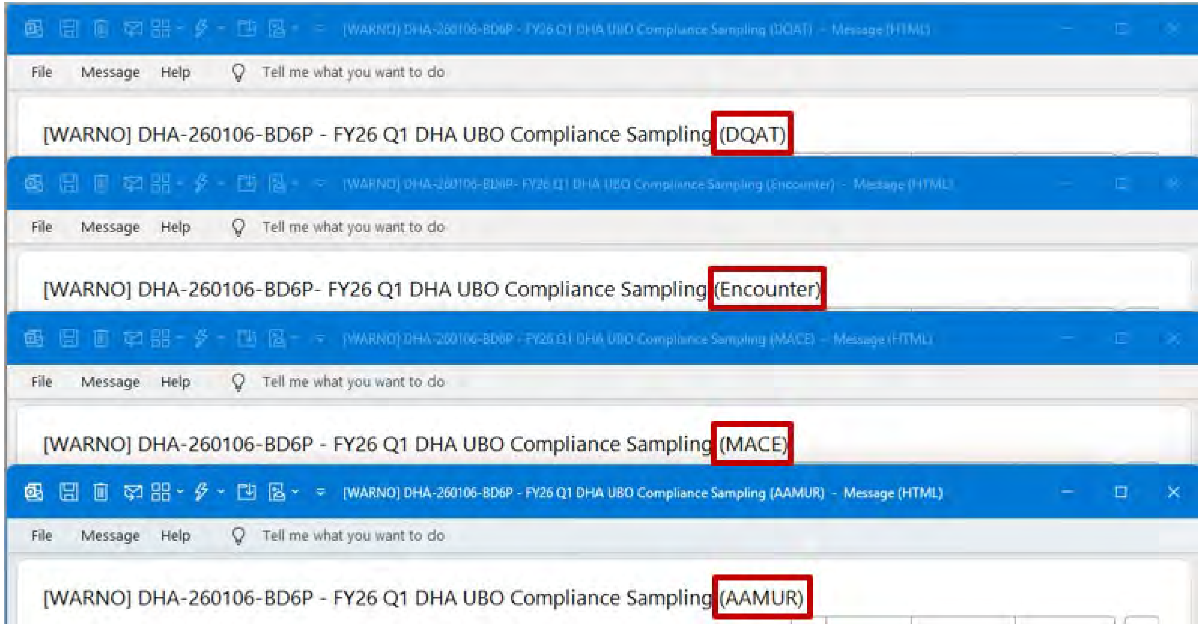
DHA UBO Compliance Sampling Schedule

for Key Supporting Documents (KSD)

Q1	AAMUR	Q1	MACE	Q1	DQAT/D-Codes	Q1	Encounter
Q2	MACE	Q2	DQAT/D-Codes	Q2	Encounter	Q2	AAMUR
Q3	DQAT/D-Codes	Q3	Encounter	Q3	AAMUR	Q3	MACE
Q4	Encounter	Q4	AAMUR	Q4	MACE	Q4	DQAT/D-Codes
Network		Network		Network		Network	
Europe		Atlantic		Central		Continental	
Indo-Pacific		East					
NCR		West					
Pacific Rim							

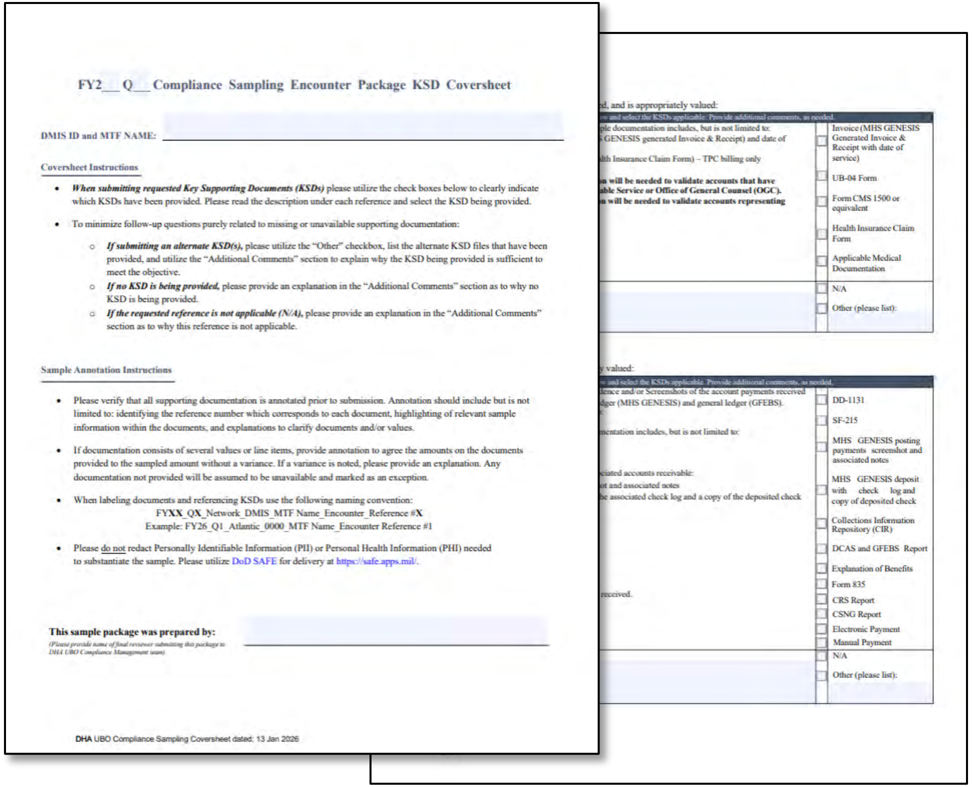
Determining Sample Category Assignment (continued)

Take note of courtesy e-mail subjects. Only submit samples for your assigned category.



Compliance Sampling Package KSD Coversheet

- **Purpose**
  - Provides a standardized checklist showing which Key Supporting Documents (KSDs) are included for each sampled document.
  - Reduces follow-up by documenting alternative, unavailable, or non-applicable items with clear explanations



FY2__ Q__ Compliance Sampling Encounter Package KSD Coversheet

DMIS ID and MTF NAME: ____________________

Coversheet Instructions

- ***When submitting requested Key Supporting Documents (KSDs)*** please utilize the check boxes below to clearly indicate which KSDs have been provided. Please read the description under each reference and select the KSD being provided.
- To minimize follow-up questions purely related to missing or unavailable supporting documentation:
  - ***If submitting an alternate KSD(s),*** please utilize the "Other" checkbox, list the alternate KSD files that have been provided, and utilize the "Additional Comments" section to explain why the KSD being provided is sufficient to meet the objective.
  - ***If no KSD is being provided,*** please provide an explanation in the "Additional Comments" section as to why no KSD is being provided.
  - ***If the requested reference is not applicable (N/A),*** please provide an explanation in the "Additional Comments" section as to why this reference is not applicable.

Sample Annotation Instructions

- Please verify that all supporting documentation is annotated prior to submission. Annotation should include but is not limited to: identifying the reference number which corresponds to each document, highlighting of relevant sample information within the documents, and explanations to clarify documents and/or values.
- If documentation consists of several values or line items, provide annotation to agree the amounts on the documents provided to the sampled amount without a variance. If a variance is noted, please provide an explanation. Any documentation not provided will be assumed to be unavailable and marked as an exception.
- When labeling documents and referencing KSDs use the following naming convention:
  FYXX_QX_Network_DMIS_MTF Name_Encounter_Reference #X
  Example: FY26_Q1_Atlantic_0000_MTF Name_Encounter Reference #1
- Please do not redact Personally Identifiable Information (PII) or Personal Health Information (PHI) needed to substantiate the sample. Please utilize DoD SAFE for delivery at https://safe.apps.mil/.

This sample package was prepared by: ____________________
(Please provide name of final reviewer submitting this package to DHA UBO Compliance Management team)

DHA UBO Compliance Sampling Coversheet dated: 13 Jan 2026

KSD Coversheet Steps

1. **Enter facility identifiers**
   - Fiscal Year and Quarter
   - DMIS ID and MTF Name at the top of the coversheet.
2. **Complete "Prepared by"**
   - Enter the name of the final reviewer submitting the package.

FY2__ Q__ Compliance Sampling Encounter Package KSD Coversheet

DMIS ID and MTF NAME: ____

Coversheet Instructions

- ***When submitting requested Key Supporting Documents (KSDs)*** please utilize the check boxes below to clearly indicate which KSDs have been provided. Please read the description under each reference and select the KSD being provided.
- To minimize follow-up questions purely related to missing or unavailable supporting documentation:
  - ***If submitting an alternate KSD(s),*** please utilize the "Other" checkbox, list the alternate KSD files that have been provided, and utilize the "Additional Comments" section to explain why the KSD being provided is sufficient to meet the objective.
  - ***If no KSD is being provided,*** please provide an explanation in the "Additional Comments" section as to why no KSD is being provided.
  - ***If the requested reference is not applicable (N/A),*** please provide an explanation in the "Additional Comments" section as to why this reference is not applicable.

Sample Annotation Instructions

- Please verify that all supporting documentation is annotated prior to submission. Annotation should include but is not limited to: identifying the reference number which corresponds to each document, highlighting of relevant sample information within the documents, and explanations to clarify documents and/or values.
- If documentation consists of several values or line items, provide annotation to agree the amounts on the documents provided to the sampled amount without a variance. If a variance is noted, please provide an explanation. Any documentation not provided will be assumed to be unavailable and marked as an exception.
- When labeling documents and referencing KSDs use the following naming convention:
  FY**XX**_Q**X**_Network_DMIS_MTF Name_Encounter_Reference #**X**
  Example: FY26_Q1_Atlantic_0000_MTF Name_Encounter Reference #1
- Please do not redact Personally Identifiable Information (PII) or Personal Health Information (PHI) needed to substantiate the sample. Please utilize DoD SAFE for delivery at https://safe.apps.mil/.

This sample package was prepared by: ________________________________
(Please provide name of final reviewer submitting this package to DHA UBO Compliance Management team)

DHA UBO Compliance Sampling Coversheet dated: 13 Jan 2026

KSD Coversheet Steps (continued)

3. Work Reference-by-Reference

- For each reference, check the box(es) for the KSDs you are providing.
- If you provide an alternate KSD, select "Other" and list the file(s) provided.
- If no KSD is provided or the reference is N/A, document the reason in "Additional Comments" (otherwise it's assumed unavailable and may be marked as an exception).

References:

Reference #1

To determine a valid receivable exists, has occurred, and is appropriately valued:

Please read the description below and select the KSDs applicable. Provide additional comments, as needed.	
Required: Evidence the receivable was billed. Example documentation includes, but is not limited to: • Invoice to include claim/billing detail (MHS GENESIS generated Invoice & Receipt) and date of service. • Form CMS 1500, UB-04 or equivalent (Health Insurance Claim Form) – TPC billing only • Applicable Medical Documentation. • **Please note separate billing documentation will be needed to validate accounts that have transferred to Treasury's Central Receivable Service or Office of General Counsel (OGC).** • **Please note separate billing documentation will be needed to validate accounts representing Contractor Pay Debts**	☐ Invoice (MHS GENESIS Generated Invoice & Receipt with date of service) ☐ UB-04 Form ☐ Form CMS 1500 or equivalent ☐ Health Insurance Claim Form ☐ Applicable Medical Documentation
Additional Comments:	☐ N/A ☐ Other (please list):

Reference #2

To determine the receivable has been appropriately valued:

Please read the description below and select the KSDs applicable. Provide additional comments, as needed.	
Required: Evidence of collections, if applicable. Evidence and/or Screenshots of the account payments received and posted against the associated AR within the subledger (MHS GENESIS) and general ledger (GFEBS). Example documentation includes, but is not limited to: Evidence of collections, if applicable. Example documentation includes, but is not limited to: • DD-1131 • SF-215 Evidence deposited checks are posted against the associated accounts receivable: • MHS GENESIS posting payments screenshot and associated notes • MHS GENESIS deposit posting including the associated check log and a copy of the deposited check • CRS Report (CIR) • Associated DCAS and GFEBS report. Explanation of Payment: Explanation of Benefits (EOB) Form 835 CRS Report CSNG Report Evidence and/or screenshots of the account payments received. • Evidence of Manual Payments • Evidence of Electronic Payments	☐ DD-1131 ☐ SF-215 ☐ MHS GENESIS posting payments screenshot and associated notes ☐ MHS GENESIS deposit with check log and copy of deposited check ☐ Collections Information Repository (CIR) ☐ DCAS and GFEBS Report ☐ Explanation of Benefits ☐ Form 835 ☐ CRS Report ☐ CSNG Report ☐ Electronic Payment ☐ Manual Payment
Additional Comments:	☐ N/A ☐ Other (please list):

DHA

KSD Coversheet Steps (continued)

4. Annotate supporting docs before submission

- Add footers and page numbers
- Mark reference number, highlight sampled amounts/encounter identifiers, and add callouts to tie documents to the sampled value (explain any variance).
- Do not redact PII/PHI needed to substantiate the sample; deliver via DoD SAFE as instructed on the coversheet.

Pre-Submission Checklist

Please have the final reviewer of this sample package complete the below checklist before submitting documents to L1 DHA_DHP.

Checkpoint #1 – Preliminary Review	Review
1. Is each provided KSD file named correctly? ex: FYXX_QX_Network_DMIS_MTF Name_Encounter Ref #	☐
2. Are all requested (or available) documents included? If not, have alternate documents been included?	☐
3. Has the submission been consolidated correctly (are PDF's combined)?	☐

Checkpoint #2 – Compliance Review	Review
4. Have headers, footers, and page numbers been added?	☐
5. Have highlights and call-out boxes been added to indicate the key elements of the submission (transaction amounts, PIINs, Authorization Numbers, Pay Period, etc.) that focus the reviewers' attention to the key elements of the transactional "story"?	☐
6. Ensure no redactions are made on Accounts Receivable samples. For unallowable PII and PHI (i.e., full SSN), please do not redact and deliver KSD via DoD SAFE.	☐

Compiling Sample Packages

1. Open Adobe Acrobat and select the hamburger menu (☰), then select **Create > PDF Portfolio.**
2. Select **Add Files** menu in the upper left of the Create PDF Portfolio window. You can add the files here.
3. Select **Create** to add the files to the PDF Portfolio.
4. The selected files are added to your portfolio, and a new portfolio window opens displaying the files in your newly packaged file.

Naming Conventions

Format

- AAMUR
  - FYXX_QX_DHN_DMIS_MTF_AAMUR_Month 1
  - FYXX_QX_DHN_DMIS_MTF_AAMUR_Month 2
  - FYXX_QX_DHN_DMIS_MTF_AAMUR_Month 3
- DQAT
  - FYXX_QX_DHN_DMIS_MTF_DQAT_Month 1
  - FYXX_QX_DHN_DMIS_MTF_DQAT_Month 2
  - FYXX_QX_DHN_DMIS_MTF_DQAT_Month 3
- Encounters
  - FYXX_QX_DHN_DMIS_MTF_Encounters
- MACE
  - FYXX_QX_DHN_DMIS_MTF_MACE_Month 1
  - FYXX_QX_DHN_DMIS_MTF_MACE_Month 2
  - FYXX_QX_DHN_DMIS_MTF_MACE_Month 3

Example

- AAMUR
  - FY26_Q2_Continental_0046_Patrick AFB_AAMUR_Jan 2026
  - FY26_Q2_Continental_0046_Patrick AFB_AAMUR_Feb 2026
  - FY26_Q2_Continental_0046_Patrick AFB_AAMUR_Mar 2026
- DQAT
  - FY26_Q2_West_0057_Ft. Riley_DQAT_Jan 2026
  - FY26_Q2_West_0057_Ft. Riley_DQAT_Feb 2026
  - FY26_Q2_West_0057_Ft. Riley_DQAT_Mar 2026
- Encounters
  - FY26_Q2_Central_0073_Keesler AFB_Encounters
- MACE
  - FY26_Q2_NCR_0385_NHC Quantico_MACE_Jan 2026
  - FY26_Q2_NCR_0385_NHC Quantico_MACE_Feb 2026
  - FY26_Q2_NCR_0385_NHC Quantico_MACE_Mar 2026

DHA UBO Compliance Audit Checklist

- The **DHA UBO Compliance Audit Checklist** serves as an internal control review and a major cornerstone of the DHA UBO Compliance Program.
- **Overview**
  - **Quarterly Audits:** Conducted for each fiscal year and quarter.
  - **Checklist Structure:** Covers 70+ questions categorized into 15 sections.
  - **Corrective Action Plans (CAPs):** Required for questions rated “Partially Met” or “Not Met”.
  - **Re-Inspections:** Tracks progress and remediation efforts.
- MTF UBOs will complete and submit the endorsed checklist via the portal, **no later than the 15th day of the second month in each quarter** (Feb 15 / May 15 / Aug 15 / Nov 15).

Key Positions & Roles

MTF Director	The MTF Director will **appoint** a Disinterested Review (E-7+ / Civilian Equivalent) and **endorse** the completed checklist.
Disinterested Reviewer	The Disinterested Reviewer will **complete** and **endorse** checklist and **submit** the results to the UBO Manager for their preliminary review and endorsement.
UBO Manager	The UBO Manager must **review** the completed checklist, provide **recommended action** as appropriate, and **route** to the MTF Director for endorsement.
Data Quality (DQ) Manager & Data Quality Assurance Team (DQAT)	UBO is required to **attend the monthly meetings** conducted by the DQ Manager and DQAT and communicate compliance-related issues, as necessary.

DHA UBO Compliance Audit Checklist – Corrective Action Plans

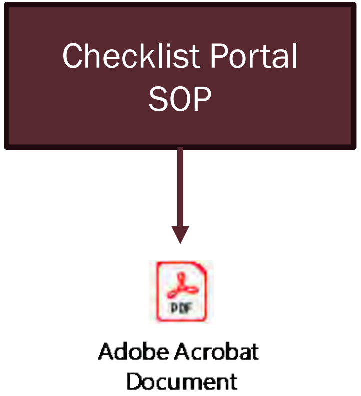
- Purpose
  - Document how your MTF will resolve items "**Partially Met**" or "**Not Met**"
  - Provide clear accountability and a path to achieve "**Met**" on the next submission
- When a CAP is required
  - **Partially Met** or **Not Met** ratings
  - Questions designated as "situational awareness" (where Rating options are Yes / No) **do not** require a CAP
- CAP expectations
  - **Who:** the responsible party who owns completion
  - **What:** specific on what will change and how it will be implemented
  - **Where:** Location/process impacted and where the fix will occur
  - **When:** Estimated Completion Date (ECD) must be no later than the end of the next reporting quarter
  - **How:** Provide enough information for DHA UBO to understand the plan and track progress
- How CAPs are closed
  - A CAP is considered successfully closed once the MTF achieves a "**Met**" rating for that item in a subsequent submission.

DHA UBO Compliance Audit Checklist – Re-Inspections

- **Purpose**
  - Provide a brief statement describing **how the requirement is now met** when updating to “Met”
  - Re-Inspection is the mechanism that shows progression from **open CAP → completed CAP → “Met”**
- **When a Re-Inspection is required**
  - Items rated “Partially Met” or “Not Met” in a prior quarter are flagged for follow-up in the next quarter’s review
  - These items require the Disinterested Reviewer to reassess and document progress/outcomes
- **Re-Inspection steps**
  - **Reassess the original issue** and verify whether the CAP was implemented
  - Update the rating based on the current status:
    - ✓ If resolved ☐ update rating to “Met” and record outcome
    - ✓ If still open ☐ keep rating of “Partially Met” or “Not Met”, update the CAP details, and set a new ECD if needed (no later than the end of the next reporting quarter
  - **Document results** in the Re-Inspection fields (findings and date re-inspected)
- **Key Expectations**
  - Do not leave re-inspection fields blank or input “No Re-Inspection required” when a re-inspection is due

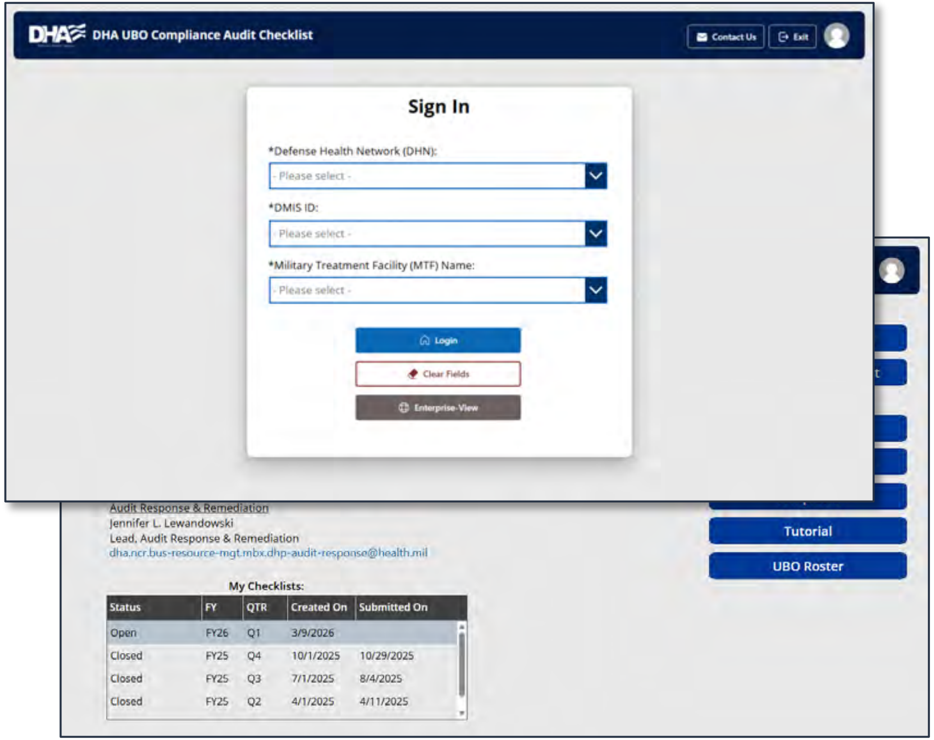
DHA UBO Compliance Audit Checklist – Power App

- A new Checklist Portal (Power App) has been developed—replacing the Excel-based checklist. Implementation of the new application will be on April 1, 2026.
- The app provides a **standardized workflow** for completing, reviewing, and uploading the endorsement statement for the checklist.
- The app improves:
  - **Traceability** (who did what / when)
  - **Consistency** across MTFs
  - **Faster review cycles** and reduced rework



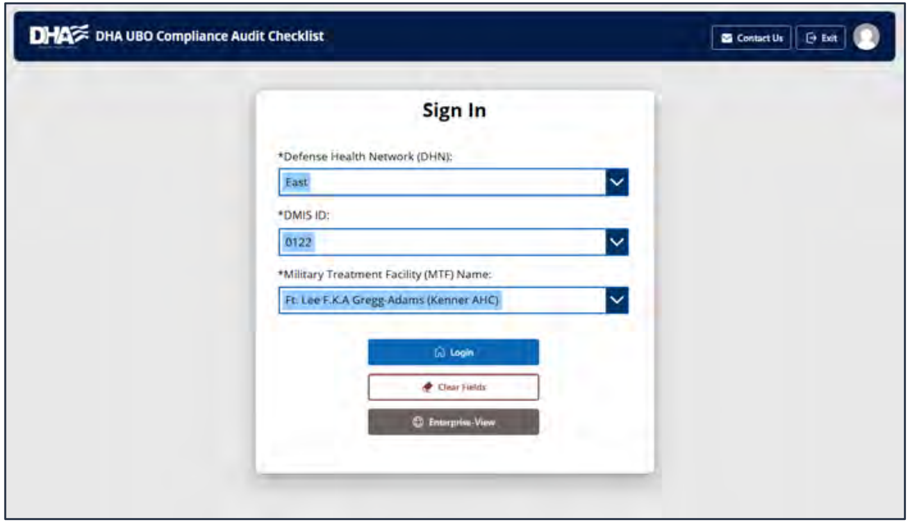
DHA UBO Compliance Audit Checklist – Power App (continued)

- Key **built-in features** include:
  - Ability to resume or resubmit quarterly audit checklists, as well as view (read-only) prior-quarter checklists
  - Checklist progress tracking (visual cues) and quick navigation by category
  - Prior-quarter context, where available, to support continuity and Corrective Action Plan (CAP) follow-up
  - Built-in field and section validation logic to guide the process and reduce rework
  - View prior quarter checklist feedback
  - View current UBO Roster POCs
  - Download templates
  - Automated notification system and physical file generation for storage (after completion)

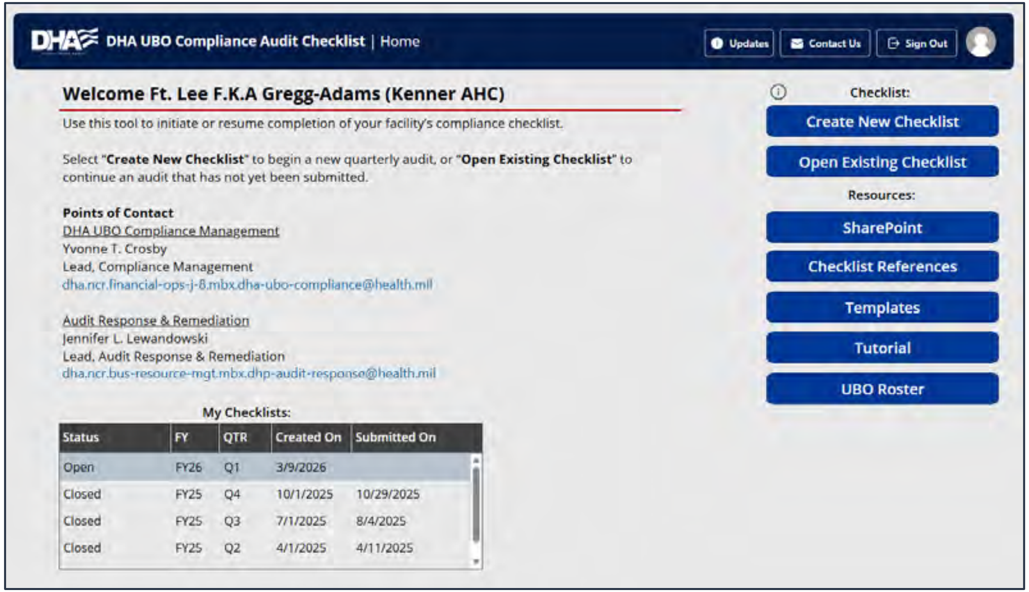


Portal Access & Navigation

1. Open the [DHA UBO Compliance Audit Checklist Portal]
2. On the **Sign In** page, select the following required values from the drop-down menus:
   - Defense Health Network (DHN)
   - DMIS ID
   - MTF Name
3. Select **Login.** The portal will open the **Home page** for the selected MTF.
4. Use **Sign Out** to return to the sign-in screen and **Exit** (on the sign-in screen) to close the application when you are finished. Or simply close the internal browser tab or window.



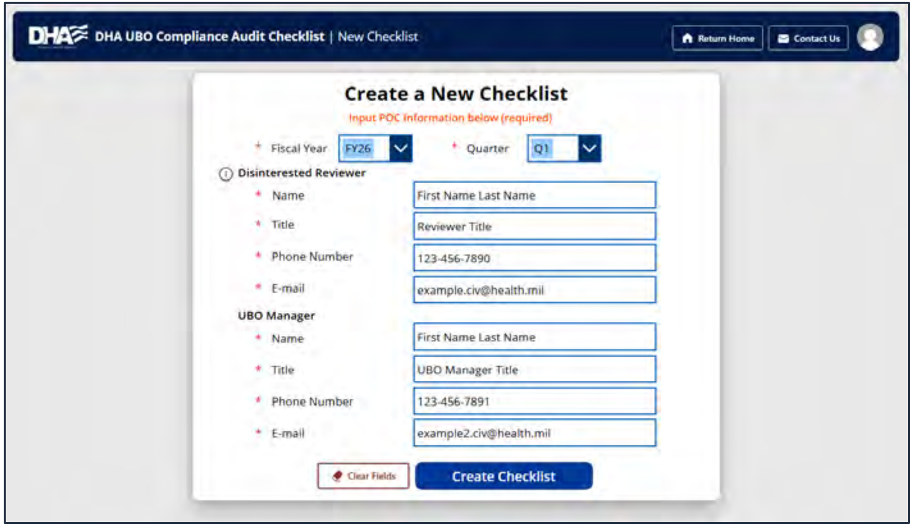
Home Page Overview



Button / area	Purpose
Create New Checklist	Starts a new quarterly checklist record for the selected MTF.
Open Existing Checklist	Opens an existing checklist for continued work or read-only review.
SharePoint	Open the DHA UBO Compliance Management SharePoint site when directed by the portal.
Checklist References	Displays question-level references and hyperlinks from the list of checklist questions.
Templates	Provides downloadable templates, including the endorsement PDF.
Tutorial	Displays step-by-step portal guidance.
UBO Roster	Displays current roster information for the selected MTF.
My Checklists	Shows prior and current checklist statuses for the selected MTF.
Contact Us	Opens the portal contact screen and email form.

Create a New Checklist

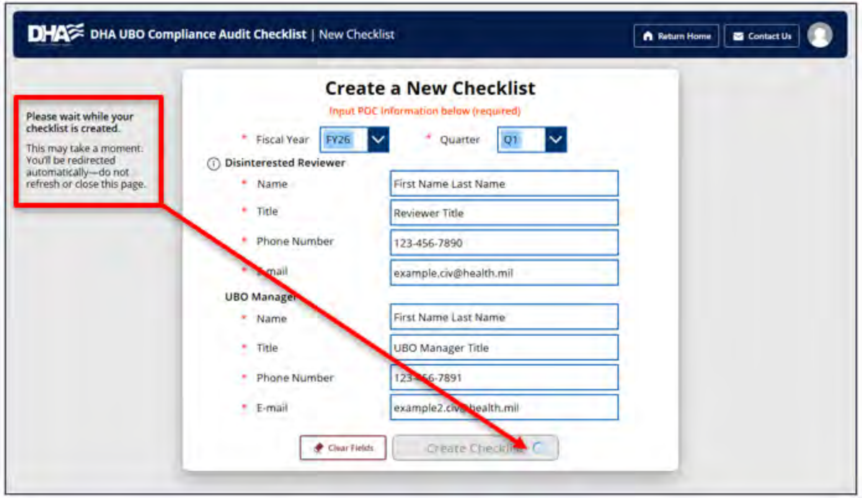
1. Select **Create New Checklist** from the Home page.
2. Choose the **Fiscal Year** and **Quarter.**
3. Enter the required contact information for the **Disinterested Reviewer** and **UBO Manager:**
   - Name
   - Title
   - Phone Number
   - E-mail



Duplicate prevention: If a checklist already exists for the selected Fiscal Year, Quarter, and DMIS ID, the portal prevents creation of a duplicate record. In that situation, use **Open Existing Checklist** instead.

Create a New Checklist

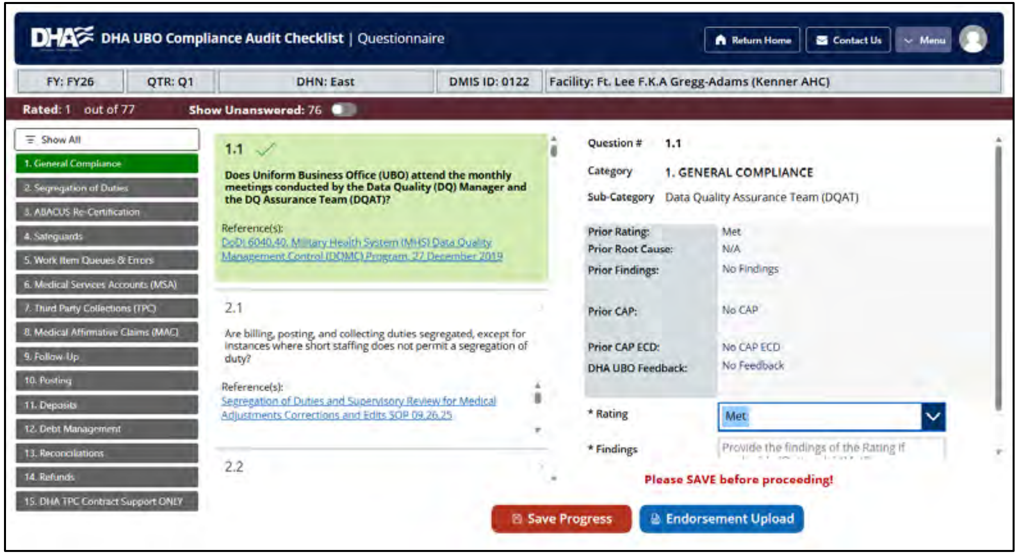
5. Once all required fields are complete, select **Create Checklist.**
6. Wait for checklist creation to finish.
7. Once the checklist is created the portal will automatically open the **Questionnaire** screen.



PLEASE WAIT: Do not refresh or close the application while the checklist is being created.

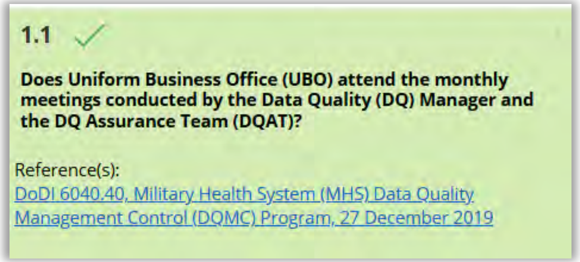
Questionnaire Screen Overview

- The Questionnaire screen (Checklist) screen is organized into **three work areas**:
  - **Left:** Categories
  - **Center:** Questions
  - **Right:** Response details
- Use **Rated** to track completion progress.
- Use **Show Unanswered** to focus on remaining items.
- Use the **Category** buttons (Left) to focus on specific questions.
- Use **Menu** to access **References, View Past Checklist**, and **Export Checklist (.csv).**
- Select a question to view details and enter a response.
- Completed categories and rated questions display visual indicators.



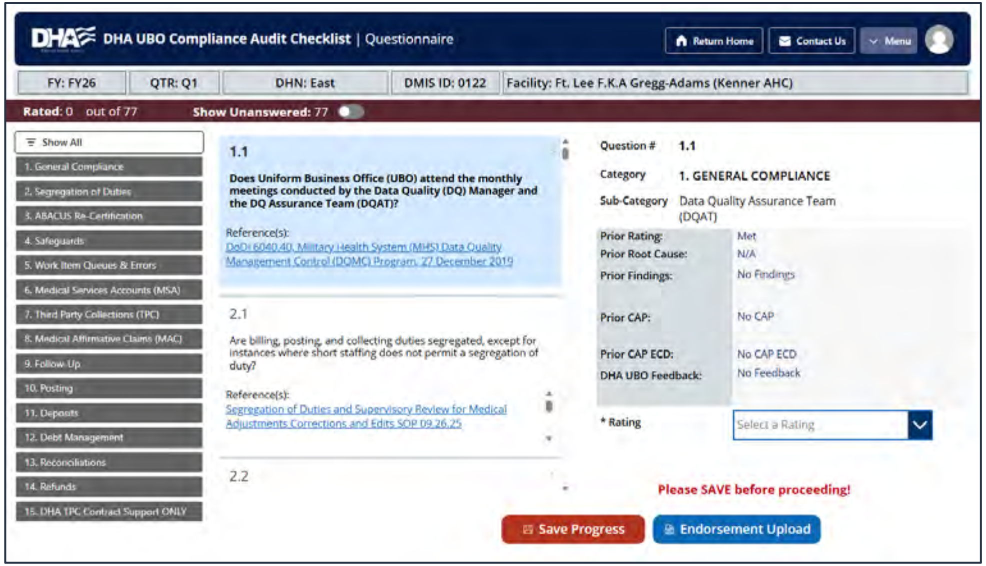
Checklist Best Practices

- Select Save Progress after every update.
- Look for the **green checkmark** confirming the save.
- If a CAP needs more work, move on and return later. Do not leave required fields incomplete—**partial responses will not be saved.**



Complete the Checklist

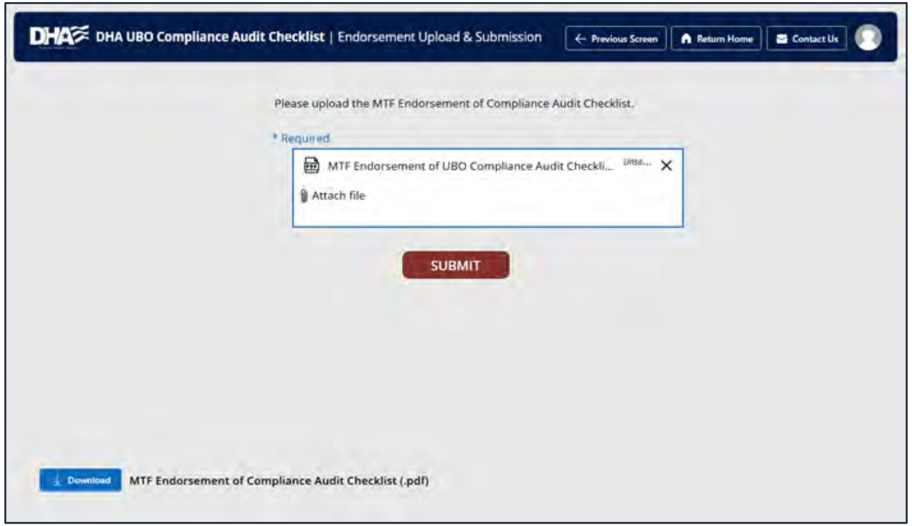
1. Select a question from the center panel.
2. Review the **question information** and **prior-quarter information** when available.
3. Choose the appropriate **Rating.**
   - Complete any required supporting fields based on the rating selection.
4. Select **Save Progress** before moving on.
5. Continue until all questions are complete.



Endorsement Upload & Checklist Submission

1. Select **Endorsement Upload** from the Questionnaire screen.
2. **Download** the official *MTF Endorsement of Compliance Audit Checklist PDF* from either the Templates screen or the link on the endorsement screen, if needed.
3. Attach the signed endorsement PDF to the attachment area.
4. Select **SUBMIT** to send the checklist to DHA review.

NOTE: The Endorsement Upload button becomes available only when all questions have been answered.



MTF Endorsement of Compliance Audit Checklist

- Checklist is not considered complete unless the Disinterested Reviewer, UBO Manager, and MTF Director have provided signatures of endorsement.
- All signatures are to be completed on the MTF Endorsement of UBO Compliance Audit Checklist template.
- The Disinterested Reviewer will be the first signature followed by the UBO Manager and MTF Director. Each signature will lock fields within the document.

UBO Compliance Audit Checklist
Endorsement Statement

DHN_DMIS_MTF Name

FY Qtr

In accordance with DHA-Policy Memorandum 24-029, Defense Health Agency Uniform Business Office Enterprise Compliance Plan Implementation Policy for Military Medical Treatment Facilities dated November 14, 2024, directing each Military Treatment Facility (MTF) to complete and submit the UBO Compliance Audit Checklist, this serves as endorsement that it has been completed and reviewed.

Name/Title	Comments	Signature/Date
Name of Disinterested Reviewer		
Name of UBO Manager		
Name of MTF Director		

Endorsement Statement – Header

Enter the DHN, DMIS ID, and MTF Name to identify the MTF this endorsement covers

UBO Compliance Audit Checklist
Endorsement Statement

DHN_DMIS_MTF Name

FY ____ Qtr ____

In accordance with DHA-Policy Memorandum 24-029, Defense Health Agency Uniform Business Office Enterprise Compliance Plan Implementation Policy for Military Medical Treatment Facilities dated November 14, 2024, directing each Military Treatment Facility (MTF) to complete and submit the UBO Compliance Audit Checklist, this serves as endorsement that it has been completed and reviewed.

Name/Title	Comments	Signature/Date
Name of Disinterested Reviewer		
Name of UBO Manager		
Name of MTF Director		

Endorsement Statement – Header (continued)

Enter the applicable Fiscal Year and reporting quarter

UBO Compliance Audit Checklist
Endorsement Statement

DHN_DMIS_MTF Name

FY Qtr

In accordance with DHA-Policy Memorandum 24-029, Defense Health Agency Uniform Business Office Enterprise Compliance Plan Implementation Policy for Military Medical Treatment Facilities dated November 14, 2024, directing each Military Treatment Facility (MTF) to complete and submit the UBO Compliance Audit Checklist, this serves as endorsement that it has been completed and reviewed.

Name/Title	Comments	Signature/Date
Name of Disinterested Reviewer		
Name of UBO Manager		
Name of MTF Director		

Endorsement Statement – Signatures

Enter the Name, add comments, if applicable, and sign

UBO Compliance Audit Checklist
Endorsement Statement

DHN_DMIS_MTF Name

FY ____ Qtr ____

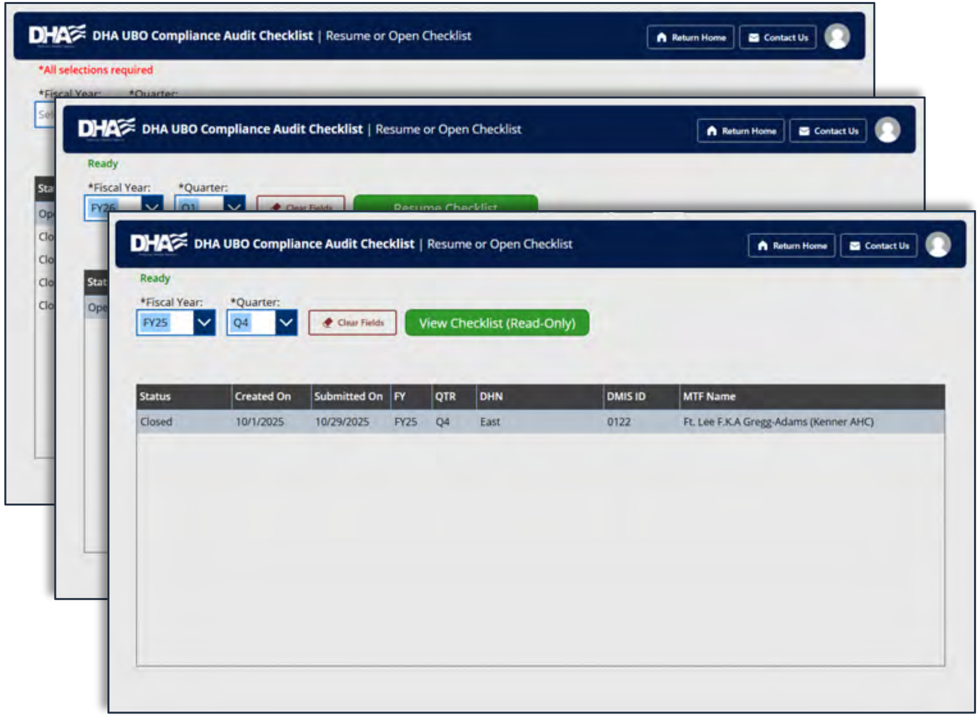
In accordance with DHA-Policy Memorandum 24-029, Defense Health Agency Uniform Business Office Enterprise Compliance Plan Implementation Policy for Military Medical Treatment Facilities dated November 14, 2024, directing each Military Treatment Facility (MTF) to complete and submit the UBO Compliance Audit Checklist, this serves as endorsement that it has been completed and reviewed.

Name/Title	Comments	Signature/Date
Name of Disinterested Reviewer		
Name of UBO Manager		
Name of MTF Director		

Open an Existing Checklist

- **Open** and **Reopened** records can be updated.
- **Under Review** and **Closed** records open in read-only mode.

1. Select **Open Existing Checklist** from the Home page.
2. Choose the desired **Fiscal Year** and **Quarter.**
3. Review the checklist status table to confirm the right record.
4. Select
   - **Resume Checklist** for editable records.
   - **View Checklist** for read-only records.

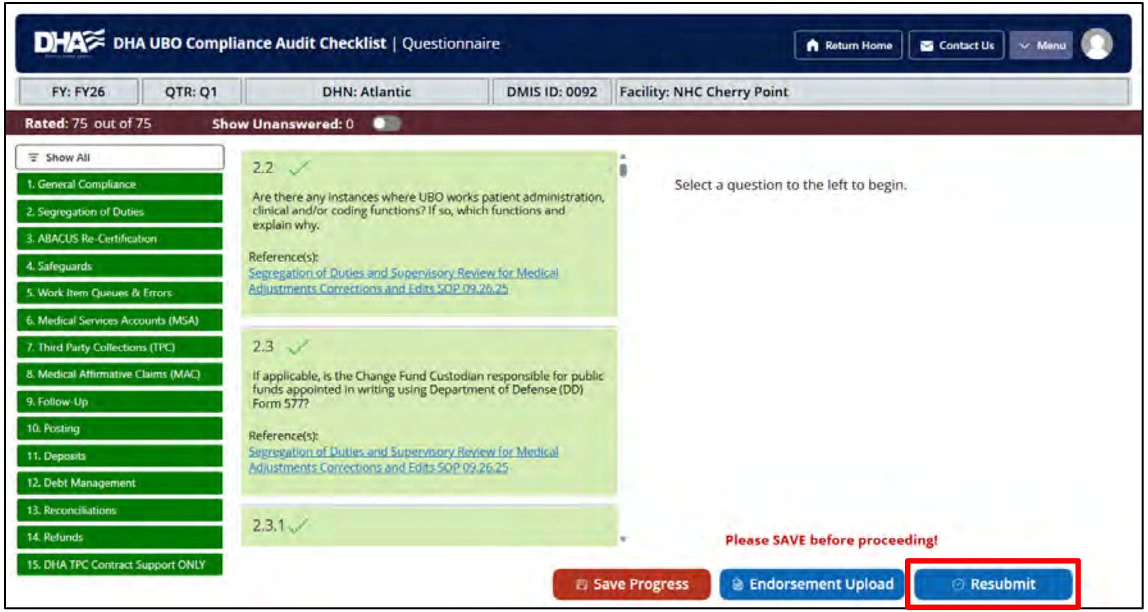


Existing Checklists | Checklist Status Definitions

Status	Meaning	User action
Open	Checklist has been created and is still editable by the MTF.	Continue completing responses and save progress until ready for endorsement upload and submission.
Under Review	Checklist has been submitted to DHA UBO Compliance Management for review.	Monitor status; no edits are available unless the checklist is reopened.
Reopened	Checklist was returned to the MTF for correction or additional information.	Open the checklist, make the requested changes, save the updates, and resubmit.
Resubmitted - Under Review	A reopened checklist was revised and sent back for DHA review.	Wait for DHA review outcome or additional feedback.
Feedback Ready	DHA comments are available for review.	Open the checklist and use View Feedback to review comments.
Closed	Checklist review cycle is complete and no further user edits are expected.	Retain the final record as required and review feedback in read-only mode if needed.

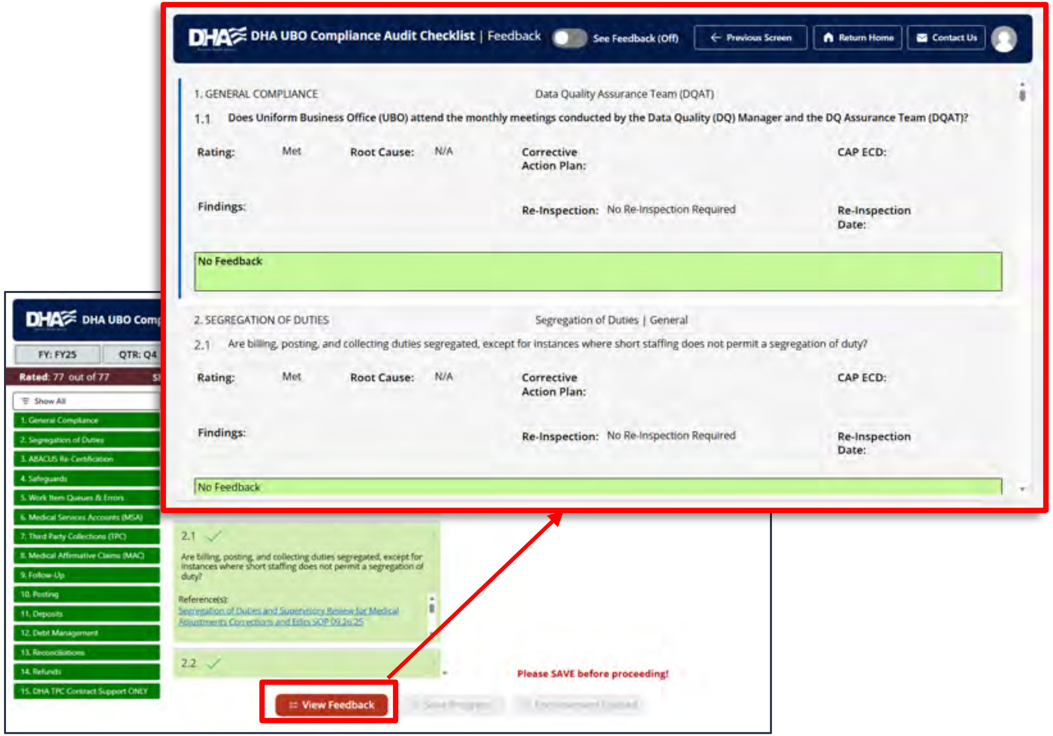
Resubmit a Reopened Checklist

- Open the checklist through **Open Existing Checklist.**
- Select the **Fiscal Year** and **Quarter**.
- Choose **Resume Checklist (Reopened).**
- Update the requested responses and save each change.
- Confirm all corrections have been addressed.
- Select **Resubmit** to return the checklist to DHA.
  - The status updates to **Resubmitted – Under Review.**



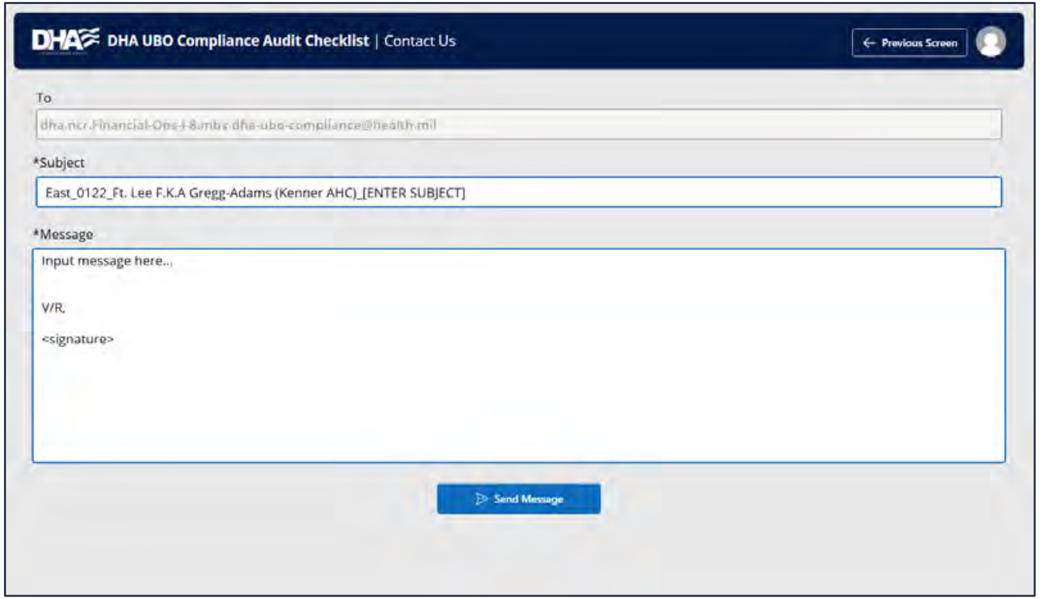
Reviewing Checklist Feedback

1. Open the checklist through **Open Existing Checklist** when the status shows **Feedback Ready.**
2. Select **View Feedback** from the Questionnaire screen.
3. Use the toggle to display **all questions** or **only questions with comments.**
4. Review DHA comments for each affected item.



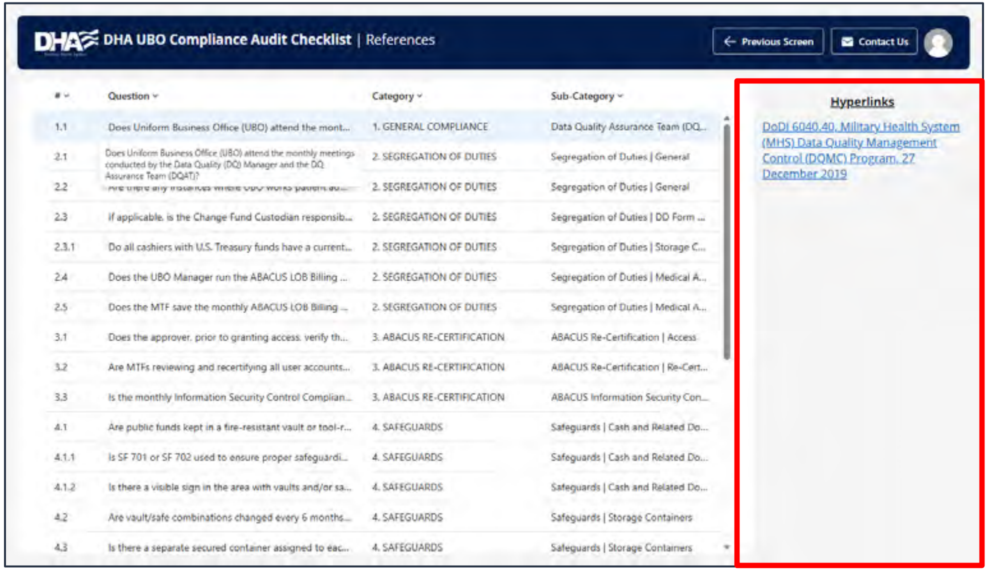
Contact and Support

- Use **Contact Us** to send questions to the DHA UBO Compliance mailbox.
- The portal auto-fills the **DHN**, **DMIS, and MTF name** in the subject line.
- Add a clear subject and enough detail to describe the issue.
- Use this option for system issues, question clarification, or outdated links.
- **Contact Us** is available from all portal screens.



Checklist References

- Use **Checklist References** from the Home page or Questionnaire Menu.
- Review **question-level citations, policy references, and hyperlinks.**
- Use references to support question interpretation and response entry.
- References are intended as a user aid during completion and review.
- If a link is broken or outdated, use **Contact Us** for assistance.

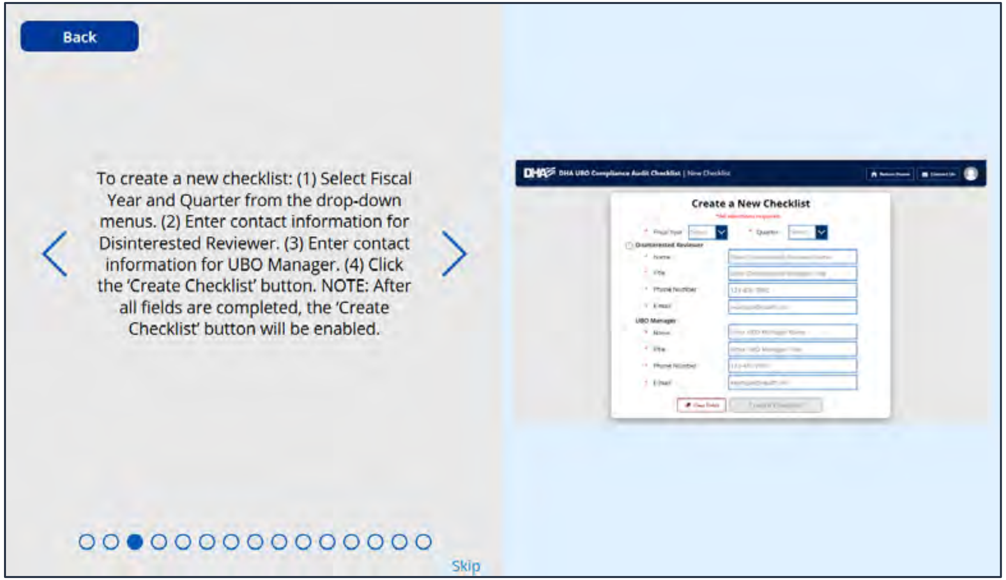


Templates

- Use **Templates** to access current DHA UBO forms and standard documents.
- This includes the **MTF Endorsement of Compliance Audit Checklist PDF**.
- Download the required form before routing for signature outside the portal.
- Avoid using saved copies from prior quarters. Always use the version posted in the portal or Compliance Management SharePoint site.

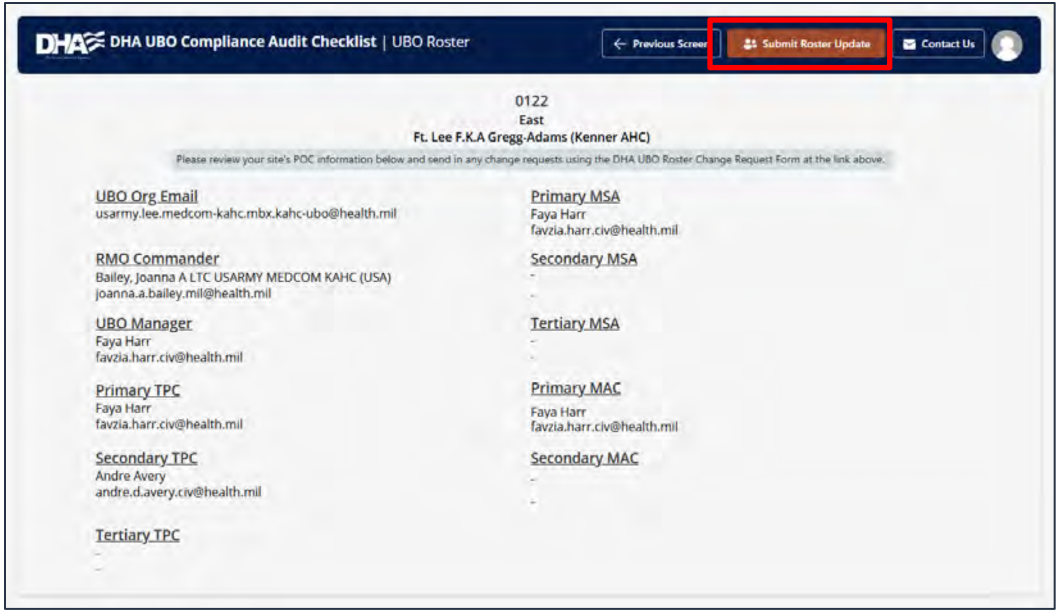
Tutorial

- Use **Tutorial** to open the portal's built-in user guidance.
- The tutorial walks users through core tasks from start to finish.
- Topics include sign-in, checklist creation, response entry, submission, and feedback review.
- Use it for **new-user orientation, refresher training**, or after portal updates.



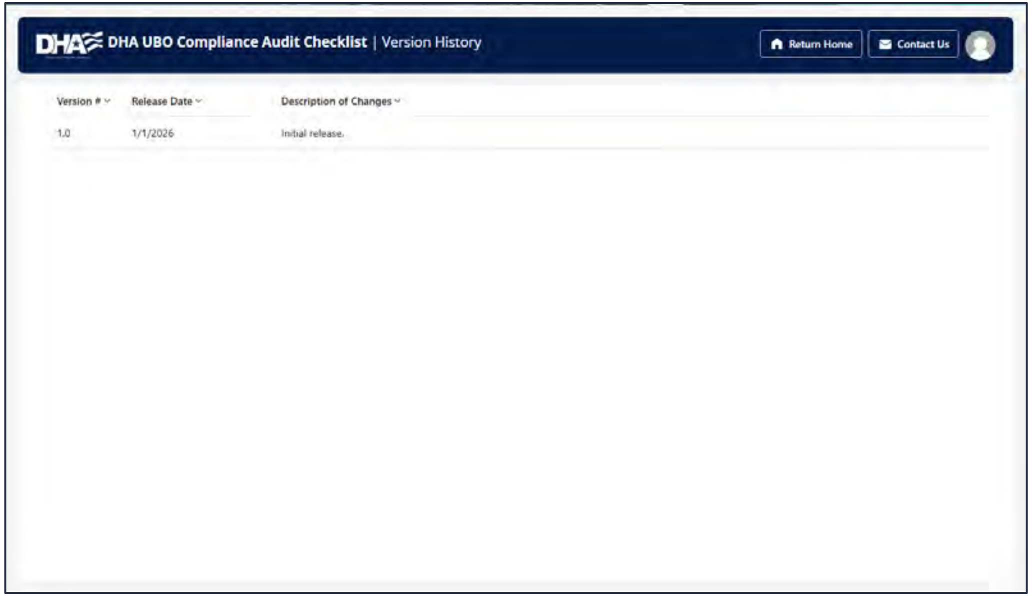
UBO Roster & POC Updates

- Use **UBO Roster** to review current roster information.
- Confirm the roster is accurate after personnel or leadership changes.
- Select **Submit Roster Update** if information needs to be corrected.
- Roster updates support accurate coordination and contact information.



Portal Version History

- Use **Version History** to review major portal changes and release updates.
- Check this screen when returning after a period of inactivity.
- Review when DHA UBO announces a new release or enhancement.
- Future system changes will be reflected here as they are deployed.



Power BI Dashboard

- Our SharePoint site includes a Power BI web part that's updated each reporting quarter to display **Compliance Audit Checklist** and **Compliance Sampling (KSD)** performance at the Enterprise, DHN, and MTF levels.
- Review key metrics such as **submission status, ratings distribution** (Met / Partially Met / Not Met), **root cause themes, and sampling completion and findings.**

Power BI Dashboard – Tabs

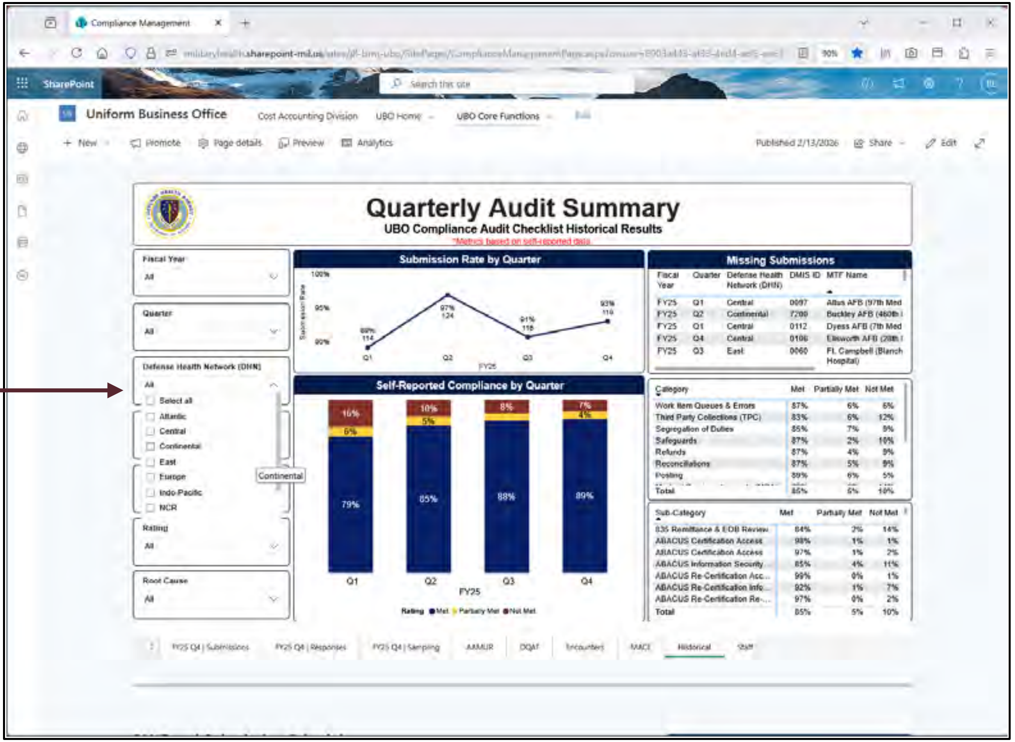
- Submissions
  - Provides insights into submission rates, timeliness, corrections, and issues.
- Responses
  - Analyzes content of submitted checklists, including ratings and compliant sub-categories.
- Sampling
  - Offers overview of compliance for all four sample categories.
- AAMUR / DQAT / Encounters / MACE
  - Focuses on sample category, comparing self-reported checklist responses to submitted samples.
- Historical
  - Displays response trends across quarters and longitudinal view of compliance performance over time.
- Staff
  - Highlights staffing issues noted in checklist responses.

Power BI Dashboard – Overview

Click any chart element to <u>cross-filter</u> the rest of the page. This allows you to drill down to specifics without leaving the dashboard.

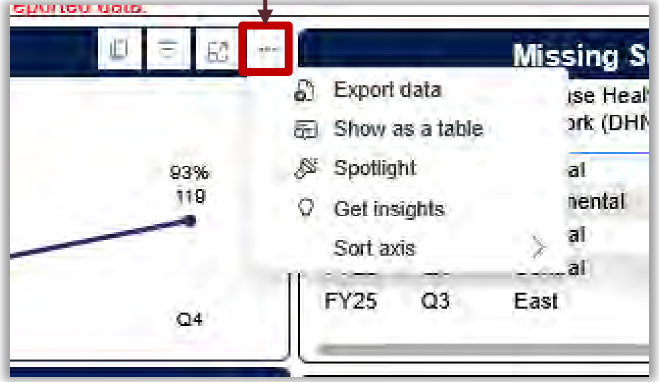
Power BI Dashboard – Overview (continued)

Use the dashboard <u>filters</u> and <u>slicers</u> to quickly narrow results to *your* facility and see status and trends.



Power BI Dashboard – Overview (continued)

To view the underlying details, hover over an element, use the … (More options) on a visual to show data as a table.



Compliance Program: Resources

- DHA UBO Compliance Management SharePoint
- DHA UBO Compliance Audit Checklist Portal (Power App)
- DHA UBO Compliance Audit Checklist Portal SOP
- DHA UBO Compliance Plan
- DHA Policy Memo 24-0429 (Compliance Plan Implementation Policy)
- DHA UBO Compliance Program FAQ
- DHA UBO Program Office Open Forum Group - Compliance Management
- DHA UBO Roster
- DHA UBO Roster Quarterly Update Requests (Microsoft Form)
- TPC Contract Training
- UBO 101 SharePoint

Questions?