

**Medicare Part C and Part D Reporting
Requirements Data Validation Procedure Manual
Appendix F: Interview Discussion Guide**

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Table of Contents

1. OVERVIEW	1
2. INTERVIEW DISCUSSION GUIDE: QUESTIONS APPLICABLE TO ALL REPORTING SECTIONS... 1	
Exhibit 1: Interview Discussion Guide for Data Validation Review Reporting Section: <REPORTING SECTION>	1
2.1. Introduction/Background	2
2.2. Data Production and Underlying Data Sources	2
2.3. Report Production Questions	2
2.4. Data Processing/Quality	2
2.5. Additional Reporting Section Questions.....	3
3. PART C ADDITIONAL REPORTING SECTION QUESTIONS	3
3.1. Grievances (Part C).....	3
3.2. Organizational Determinations/Reconsiderations	3
3.3. Special Needs Plans (SNPs) Care Management.....	4
4. PART D ADDITIONAL REPORTING SECTION QUESTIONS	4
4.1. Medication Therapy Management (MTM) Programs	4
4.2. Grievances (Part D)	4
4.3. Coverage Determinations and Redeterminations	5
4.4. Improving Drug Utilization Controls.....	5

1. OVERVIEW

The Interview Discussion Guide is a supplemental tool to the Organizational Assessment Instrument (OAI, Appendix E) that data validation contractors (DVCs) may use to obtain further information about the sponsoring organization (SO) and its reporting processes. It is intended to facilitate discussions during the site visit – on-site or virtual and includes both general and selected reporting section questions that the DVC may choose to ask of the appropriate SO staff. The DVC may alter these questions depending on the information needed and may combine the reporting section questions as appropriate to allow for efficient use of time should the SO's staff be involved with reporting for more than one reporting section. The DVC is expected to include additional reporting section questions as needed and should not rely solely on the questions provided in the Interview Discussion Guide.

2. INTERVIEW DISCUSSION GUIDE: QUESTIONS APPLICABLE TO ALL REPORTING SECTIONS

EXHIBIT 1: INTERVIEW DISCUSSION GUIDE FOR DATA VALIDATION REVIEW REPORTING SECTION: <REPORTING SECTION>

INTERVIEWEE INFORMATION

Name:

Title:

Primary Phone Number:

Email:

INTERVIEWER INFORMATION

Name:

Date:

Time:

2.1. Introduction/Background

- 2.1.1.** What are your roles and responsibilities in your current position?
- 2.1.2.** Describe your expertise and experiences with CMS Part C and/or Part D Reporting Requirements and Technical Specifications.

2.2. Data Production and Underlying Data Sources

- 2.2.1.** Describe the processes your SO uses to produce, maintain, and update the data contained in the underlying data sources. Indicate all underlying data sources involved in the reporting process, beginning with the originating data systems (e.g., claims adjudication system, enrollment system) and including all other data sources used for data collection and storage, data processing, analysis, and reporting. For each data source, discuss the following:
 - Data Source Name
 - Data Collection/Production Process and Schedule
 - Data Validation Process (for both electronic and manual processed data)
 - Responsible Entities (if external, describe how they are managed)

2.3. Report Production Questions

- 2.3.1.** Describe the processes involved with producing the reporting sections, including:
 - Data Collection
 - Data Analysis
 - Data Validation (for both electronic and manually produced reports)
 - Report Submission (for both electronic and manually submitted reports)
 - Data Sources Used
 - Responsible Entities (if external, describe how they are managed)

2.4. Data Processing/Quality

- 2.4.1.** Has your SO encountered reporting issues with any of the data elements? If yes, describe the issues and how the SO resolved them.
- 2.4.2.** What unique identifiers does your SO use for tracking purposes (e.g., Member ID, Provider ID)?
- 2.4.3.** How does your SO ensure that the appropriate date ranges for each reporting section are being reported?
- 2.4.4.** Has your SO experienced any problems with data completeness? If yes, describe the problems and how your SO resolved them.

- 2.4.5.** Describe your SO's internal control processes for assessing data completeness and accuracy (e.g., for a claims-based reporting section, describe how your SO ensures that all data from a claim is submitted and claims for all visits are submitted).
- How does your SO handle cases where data are incomplete due to delays in obtaining the data?
 - When data are questionable or invalid (e.g., claim appears inaccurate), what are the processes for determining whether the data are accurate and should be included for reporting purposes?
 - How does your SO address duplicate records identified to ensure that they are excluded from final reporting?
- 2.4.6.** How does your SO address and correct missing or invalid data (e.g., missing data values)?
- 2.4.7.** What edit checks are in place to validate data entry in HPMS (for both data submitted electronically (i.e., direct file upload) and data manually entered)?
- 2.4.8.** Has your SO implemented process or system improvements as a result of previously encountered problems with data processing, data management, reporting requirements or deadlines? If yes, describe these improvements.

2.5. Additional Reporting Section Questions

- 2.5.1.** See Sections 3 and 4 below for additional reporting section questions to incorporate into applicable interviews. Note that not every reporting section included in the data validation review has additional questions in this Interview Discussion Guide. The DVC may create additional reporting section questions depending on the information needed.

3. PART C ADDITIONAL REPORTING SECTION QUESTIONS

3.1. Grievances (Part C)

- 3.1.1.** How does your SO identify a grievance (i.e., distinguishing between grievances, inquiries, organization determinations, and reconsiderations)? Describe any internal processes your SO uses to ensure it captures grievances appropriately.
- 3.1.2.** How does your SO log/track/respond to identical grievances reported by the same member multiple times and/or to multiple departments?
- 3.1.3.** How does your SO log/track timely notification of grievance decisions for standard grievances, standard grievances with an extension, and expedited grievances?

3.2. Organizational Determinations/Reconsiderations

- 3.2.1.** How does your SO identify an organization determination (i.e., distinguishing between grievances, inquiries, organization determinations, and reconsiderations)?
- 3.2.2.** How does your SO assign a final disposition category (i.e., definitions for fully favorable, partially favorable, adverse)?

3.3. Special Needs Plans (SNPs) Care Management

- 3.3.1.** How does your SO identify enrollees that are eligible for an annual reassessment?
- 3.3.2.** How does your SO identify the health risk assessments that are performed on enrollees to determine whether they are initial assessments or annual reassessments?
- 3.3.3.** What standardized health risk assessment tool does your SO use?
- 3.3.4.** How does your SO define a health risk assessment/re-assessment as “complete?”

4 PART D ADDITIONAL REPORTING SECTION QUESTIONS

4.1. Medication Therapy Management (MTM) Programs

- 4.1.1.** How does your SO identify members as being eligible for the MTM program?
- 4.1.2.** How does your SO identify and track MTM interventions, including comprehensive medication reviews, targeted medication reviews, prescriber interventions, and drug therapy changes as a result of MTM interventions?
- 4.1.3.** How does your SO determine the validity of data? For example, how do you determine whether the beneficiary’s MTM program enrollment status is current? What is the schedule for this type of data validation?
- 4.1.4.** How does your SO address incorrect beneficiary enrollment status? How does your O ensure that invalid enrollees are excluded from the final cleaned database used for the data reported to CMS?
- 4.1.5.** How does your SO track and follow-up on offers for Comprehensive Medication Reviews (CMRs)? By what means does your SO determine whether or not an offer has been made and received by the beneficiary?

4.2. Grievances (Part D)

- 4.2.1.** How does your SO identify a grievance (e.g., distinguishing between grievances, inquiries, coverage determinations, exceptions, and appeals/ redeterminations)? Describe any internal processes your SO uses to ensure it captures grievances appropriately.
- 4.2.2.** How does your SO log/track/respond to identical grievances reported by the same member multiple times and/or to multiple departments?
- 4.2.3.** How does your SO log/track timely notification of grievance decisions for standard grievances, standard grievances with an extension, and expedited grievances?

4.3. Coverage Determinations and Redeterminations

- 4.3.1.** How does your SO identify a coverage determination/exception (e.g., distinguishing between grievances, inquiries, coverage determinations (including exceptions), and redeterminations)? Describe any internal processes your SO uses to ensure it categorizes coverage determinations correctly.
- 4.3.2.** How does your SO determine whether a request should be treated as an exceptions request?
- 4.3.3.** How does your SO log/track/respond to identical requests for the same member multiple times?
- 4.3.4.** How does your SO identify redeterminations (e.g., distinguishing between grievances, inquiries, coverage determinations (including exceptions), and redeterminations)? Describe any internal processes your SO uses to ensure it categorizes redeterminations correctly.
- 4.3.5.** How does your SO assign a final disposition category (e.g., definitions for fully favorable, partially favorable, and adverse)?

4.4. Improving Drug Utilization Controls

- 4.4.1.** How does your SO identify POS rejects triggered by their CMS approved formulary cumulative opioid morphine milligram equivalent doses (MME) edit?
- 4.4.2.** How does your SO log/track unique beneficiaries triggered by an approved soft and/or hard formulary-level cumulative MME threshold that have multiple transactions for the same claim?
- 4.4.3.** How does your SO identify the hard formulary-level cumulative opioid MME edits claims that lead to a coverage determination?