Medicare Part C and Part D Reporting Requirements
Data Validation Procedure Manual

Appendix 4: Instructions for Findings Data Collection Form for Data Validation
Reviewers

Version 5.0

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List of Exhibits

1 OVERVIEW OF FINDINGS DATA COLLECTION FORM AND EVALUATION PROCESS

The Findings Data Collection Form (*FDCF*) is a tool for reviewers to record their data validation findings for each contract included in the scope of the data validation review. The form mirrors the content of the *Data Validation Standards* document, but allows the reviewer to record notes, data sources referenced, and findings for the different standards and criteria specified for a given reporting section. An overview of this process is depicted in Exhibit 1, below.
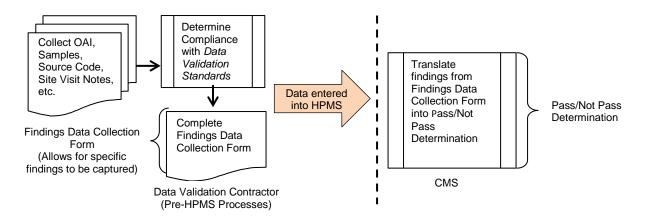
Exhibit 1: Overview of Findings Data Collection Process and Pass/Not Pass Determination

Using the *FDCF,* the reviewers will conduct the review and record reporting section-level, and in some cases data element-level, findings for each reporting section's standards. Once the findings have been finalized the reviewer will share them with the organization and then submit the completed *FDCF* to CMS via the Health Plan Management System (HPMS). CMS will then evaluate the reporting section- or data element-level findings for each reporting section's standards to derive an overall "Pass" or "Not Pass" determination.

1.1 RECORD FINDINGS AT THE REPORTING SECTION LEVEL OR THE REPORTING SECTION'S DATA ELEMENT LEVEL

While most data validation standards and criteria are assessed at the reporting section-level (e.g., Standard 1, a review of source documents indicating that all source documents accurately capture required data fields and are properly documented), some are assessed at the data element-level (e.g., Standard 2.e examines each data element for compliance with reporting section criteria). Depending on the level of assessment for each standard and criteria, reviewers will record results in the *FDCF* at the reporting section-level or at the reporting section's data element-level.

The standards and criteria that involve data element-level reviews are Standards 2.e and 3.a, specifically, as they assess the accuracy of reported results that may vary across data elements reported by the organization. Reviewers must refer to the reporting section criteria for Standard 2.e in their evaluation.

1.2 STRUCTURE OF FINDINGS DATA COLLECTION FORM

The content in each reporting section form mirrors the data validation standards and includes space for the reviewer to record data sources, review results, and findings for a given reporting section. Reviewers should only complete areas displayed in white for data sources, review results, and findings. Areas displayed in grey are not applicable and should not be completed. In the "Data Sources and Review Results:" column, the reviewer will enter the review results and/or data sources used for each standard or sub-standard. In the adjacent "Findings" column, select "Y" if the requirements for the

standard or sub-standard have been completely met. Select "N" if any requirement for the standard or sub-standard has not been met.

Please refer to the appropriate technical specifications documents for the Part C and Part D data elements.

The Part C Technical Specifications can be found at: http://www.cms.gov/Medicare/Health-Plans/HealthPlansGenInfo/ReportingRequirements.html

The Part D Technical Specifications can be found at:
 http://www.cms.gov/Medicare/Prescription-Drug-Coverage/PrescriptionDrugCovContra/RxContracting_ReportingOversight.html