

## Instructions: Part D Coverage Determinations, Appeals, and Grievances (CDAG)

### Classification of Requests Root Cause Analysis and Impact Analysis

#### **1. Root Cause Analysis (RCA) - complete as requested by CMS**

- 'Description of Issue' tab
  - Complete Columns G, H, I & J only. Provide a detailed description of the issue in Column G, the root cause of that issue in Column H, the methodology used to determine the root cause in Column I, and the scope of the noncompliance in Column J.
  - Do not complete the 'Enrollee Impact' tab at this time.
- Remove "TEMPLATE" from the document title and upload the completed file in HPMS as a 'Root Cause' File Type.

#### **2. Impact Analysis (IA) - complete as requested by CMS**

**IA timeframe:** XX/XX/XXXX - XX/XX/XXXX

- Using the completed RCA document from Step 1, populate the remaining fields and tabs as follows:
- 'Description of Issue' tab:
  - Complete the remaining fields (columns K through R) based on the impact analysis request in Column F.
  - After completing the Impact Analysis, review the root cause analysis and update Columns G, H, I & J as necessary (root cause analysis)
- 'Enrollee Impact' tab:
  - Include all grievances associated with the noncompliance during the IA timeframe above.
  - Enter grievances with multiple issues as a single line item, unless separate notifications were issued.
  - Highlight the sample rows identified during the audit.
- **All fields must be populated.** Revision may be requested if the information provided is incomplete or insufficient.
- Remove "TEMPLATE" from the document title and upload the completed file to HPMS as an 'Impact Analysis' file type.

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