



# Medicare Advantage and Prescription Drug Plans

**August 11, 2006**

**Plan Communications  
User's Guide  
Version 1.4**

***CENTERS FOR MEDICARE & MEDICAID SERVICES***

*Medicare Plan Payment Group*

*Center for Beneficiary Choices*



**Medicare Advantage and Prescription Drug  
Plan Communications  
User's Guide  
Version 1.4**

**(August 11, 2006)**

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**Change Track Log**

**July - August 2006 Updates**

<b>Section</b>	<b>Changes</b>
Global	<ul style="list-style-type: none"> <li>▪ Changed the version number from 1.3 to 1.4</li> <li>▪ Changed the date to August 11</li> <li>▪ Modified all references to the MMA Help Web Site to <a href="http://www.cms.hhs.gov/mmahelp">http://www.cms.hhs.gov/mmahelp</a></li> <li>▪ Removed all references to the "extranet"</li> <li>▪ Automated all page numbers to include both Section Number and Page Number</li> <li>▪ Automated Table of Contents, List of Figures, and List of Tables</li> <li>▪ Changed Part D Plans to Plan(s) where appropriate</li> <li>▪ Changed MCO to Plan(s) where appropriate</li> <li>▪ Changed "you" to users or Plans</li> <li>▪ Reformatted page numbers</li> <li>▪ Text changes throughout document</li> <li>▪ Added titles to sections when referenced in the document</li> </ul>
Cover	<ul style="list-style-type: none"> <li>▪ Added "Medicare Plan Payment Group"</li> </ul>
Title of Contents	<ul style="list-style-type: none"> <li>▪ Added missing figures to the List of Figures</li> </ul>
1	<ul style="list-style-type: none"> <li>▪ Updated information under bullet beginning with "Section 10" to say "Plans" instead of "Part D Plans"</li> <li>▪ Added Section 1.3, Additional Information, which contains links to information on the MMA Help Web site</li> <li>▪ Revised explanation in Section 1.4, MARx Overview</li> <li>▪ Modified Figures 1-1 and 1-2</li> <li>▪ Added information on "submitted" transaction to Section 1.4.1.1</li> <li>▪ Added Section 1.4.1.2, Enrollment Transmission Message File (STATUS)</li> <li>▪ Removed reference to pending in Section 1.4.1.4</li> </ul>
2	<ul style="list-style-type: none"> <li>▪ Provided a reference to the MMAHelp Web Site in Sections 2.1.1 and 2.1.1.1</li> <li>▪ Section 2.1.2.1.1, page 2-2, second paragraph, first sentence: added new text</li> <li>▪ Table 2-1, page 2-2: Deleted step 2; page 2-3: deleted last table cell, beginning with MCS.DTRG.MCSuser.A</li> <li>▪ Added the term for "EFT" - Electronic File Transmission on page 2-3</li> <li>▪ Page 2-4: New File Path Limitation paragraph</li> <li>▪ Under "GENTRAN Access" included "per contract" to the 4 submitters on page 2-4</li> <li>▪ Added term for ECRS –Electronic Correspondence Retrieval System on page 2-5</li> </ul>
3	<ul style="list-style-type: none"> <li>▪ Section 3.3.1, page 3-2, Daily Processing: text edits</li> <li>▪ Section 3.3.3.1, removed "Payment Bill Option Code" to "Plans which links..."</li> <li>▪ Section 3.3.3.3, Clarified information in the "Note" section</li> </ul>
4	<ul style="list-style-type: none"> <li>▪ Incorporated new screen samples</li> <li>▪ Modified information in Table 2-1</li> <li>▪ Changed reference to 1.6.2 from 1.5.2 under Section 4.1.1.2 on page 4-2</li> <li>▪ Modified bulleted information on page 4-8, above Figure 4.1-5</li> <li>▪ Inserted new sample of Figure 4.1-16</li> <li>▪ Section 4.1.5.5, page 4-9, updated last paragraph</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Section 4.2.1, Step 2 – added information for logging on</li> <li>▪ Page 4-10 Revised paragraph number 6</li> <li>▪ Pages 4-51 and 4-61, changed reference from Section 4.3.3.7 to 4.3.3.8</li> <li>▪ Section 4.5, page 4-92: Deleted bullet relating to Bi-weekly reports</li> <li>▪ Updated information in Section 4.24</li> </ul>
5	<ul style="list-style-type: none"> <li>▪ Explanations for BEQ Request and Response Process updated with the latest information from CMS.</li> <li>▪ Moved BEQ Request File and Response File Layout Tables from Section 5 to Appendix E</li> <li>▪ Moved BEQ Response File Error Conditions Table from Section 5 to Appendix H</li> <li>▪ Page 5-2, included reference to file layouts in Appendix E; Error Code Tables in Appendix H.</li> <li>▪ Page 5-2 and 5-3 – 5-6 Removed naming conventions and included a reference to Section 2 and Appendix J</li> <li>▪ Page 5-5, wording change</li> <li>▪ Page 5-6 and 5-7 Removed naming conventions and included reference to Section 2 and Appendix J</li> <li>▪ Renumbered chapters within section due to the removal of chapters</li> <li>▪ Renumbered Table 5.5.1 to Table 5.4.1</li> <li>▪ Renumbered figures from 5.5-1 thru 5.5-36 to 5.4.1 thru 5.4-36</li> <li>▪ Figures 5.4-8 through 5.4-22, added note to figures that reads “Note” Screenshots will be updated to include the Part D Subsidy link” in the next version of the <i>Guide</i></li> </ul>
6	<ul style="list-style-type: none"> <li>▪ No change</li> </ul>
7	<ul style="list-style-type: none"> <li>▪ Explanations for the 4Rx Notification updated with the latest information from CMS.</li> <li>▪ Moved 4Rx Notification File and 4Rx Response File Layout Tables from Section 7 to Appendix E</li> <li>▪ Moved 4Rx Notification and Transaction Error Condition Tables from Section 7 to Appendix H</li> <li>▪ Page 7-1, Modified introductory paragraph text</li> <li>▪ Section 7.1.1 – removed reference information</li> <li>▪ Page 7-2, Redirected readers to view Appendix E and H for information</li> <li>▪ Pages 7-2 and 7-3, Removal of naming conventions and inclusion of a reference to Section 2 and Appendix J</li> <li>▪ Pages 7-5 –7-8 Removal of sample file naming standards and conventions and inclusion of a reference to Section 2 and Appendix J</li> <li>▪ Page 7-5, text change to Section 7.2.1</li> <li>▪ Revised time period provided in first paragraph in Section 7.3</li> </ul>
8	<ul style="list-style-type: none"> <li>▪ Page 8-1, Removed sample file naming standards and added a reference to Section 2 –Appendix E-25, and Appendix J – All Transmission Overview</li> <li>▪ Updated the explanation according to feedback from DMBDD review.</li> </ul>
10	<ul style="list-style-type: none"> <li>▪ Updated information to reflect this sections applies to all Plans</li> </ul>
Appendices	<ul style="list-style-type: none"> <li>▪ Please refer to the front section of the Appendices document for a complete list of updates</li> </ul>

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## 1: Introduction

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### 1.1 Document Overview

The *Medicare Advantage and Prescription Drug Plan Communications User's Guide* (the *Guide*) provides information to Managed Care Plans (principally Medicare Advantage Plans) and Prescription Drug Plans (both hereafter referred to as Plans) regarding access to and interaction with MARx. MARx is an enhancement of the legacy Medicare Managed Care System (MMCS), with changes for the implementation of the Medicare Modernization Act (MMA).

This *Guide* provides an overview of how Plans will exchange data with CMS, describing the input received from the Plans and the report and data files that are sent in response from CMS to the Plans. It includes information for Plans to reference in establishing connections for communication with CMS.

The *Guide* also provides screen shots and information relative to the User Interface that Plans will use to obtain eligibility and enrollment information online.

Chapter 19 of the *Medicare Managed Care Manual, Enrollment and Payment Operations*, dated August 30, 2006, provides additional information on the enrollment, disenrollment, and reconciliation processes and policies. Use Chapter 19 in conjunction with this *Guide* to determine appropriate actions.

#### Note

Future revision(s) of this document will be provided as information is completed and supplied.

### 1.2 Document Organization

The *Guide* includes the following information:

- **Section 1, Introduction**, provides general information about the organization of this document, typographical conventions, and an overview of the MARx application, including high-level data flows, system architecture, the monthly processing cycle, and data exchange processes and requirements.
- **Section 2, Establishing Communication with CMS**, highlights guidelines for establishing connectivity to the CMS Data Center along with methods for exchanging data with CMS. It also provides various points of contact for policy, procedural, and system questions.
- **Section 3, MARx Processing**, provides information on the operational processes for MARx.
- **Section 4, Using MARx Online Operations**, describes MARx functionality for the User Interface.
- **Section 5, Accessing the CMS Systems for Eligibility Verification**, provides information for accessing CMS systems for Plans to verify beneficiary eligibility.



- **Section 6, Cost Plan Transaction Processing**, provides information on the transaction processes for Cost Plans.
- **Section 7, Reporting RxID/RxGROUP/RxPCN/RxBIN Data**, provides detail information for Plans to follow in submitting the 4Rx data elements to CMS.
- **Section 8, Accessing the MA-PD/Cost Plan Full Dual File**, provides MA-PD and Cost Plans information for accessing files for enrollees who are full-benefit dual eligibles.
- **Section 9, Cost Plan Auto-Enrollment Clarification**, provides clarification for Cost Plans to auto-enroll full-benefit dual eligibles into a Plan Benefit Package (PBP).
- **Section 10, Reporting Coordination of Benefits (COB) Data** – provides an explanation of COB File Data element definitions and instructions for all organizations that offer Part D benefits.

### 1.2.1 *Typographical Conventions*

The typographical conventions used in the *Guide* are shown in **Table 1-1**.

**Table 1-1. Typographical Conventions**

Example	Description
<Alt-P>	<b>Keystroke.</b> Less than and greater than signs (<>) are placed around any keyboard entries mentioned in the text. For instance, when the user is directed to press the Enter key, the user will see <ENTER>.
[Find]	<b>Button Name.</b> Square brackets ( [ ] ) are placed around the references to the names of all buttons displayed on the screen. The button names use mixed-case alphanumeric characters.
Beneficiaries	<b>Menu or Submenu Name.</b> A menu is represented as a horizontal list of menu items, either on the MARx main menu or at the top of a screen. A submenu is a list of items below the menu, where the items vary based on which menu item was chosen. These names are shown as mixed-case text with bars on either side.
<i>Beneficiaries: Find (M201)</i>	<b>Screen Name.</b> All screen names will be represented as mixed case, italic text and contain the full description of the screen.
Label Names	<b>Label Name.</b> All field labels (for input and output) referenced in the text are shown as mixed-case alphanumeric characters.
Smith	<b>Input.</b> Input fields are spaces or locations that accept input on the screens. The input is in the form of mixed-case alphanumeric characters.
FEMALE	<b>Selection.</b> A dropdown list offers a choice of options from which to select. Dropdown options are generally presented on the system in upper case.
The claim...	<b>Error Message.</b> MARx performs data validation after the user clicks on an action button (such as [Find] or [Submit]). If a problem occurs, an error is posted in red in the upper left-hand corner of the screen. The messages use mixed-case alphanumeric characters.
The request...	<b>Status Message.</b> MARx provides status messages in green in the upper left corner of the screen. The messages use mixed-case alphanumeric characters.
<a href="#">06/2002</a>	<b>Link.</b> Links are fields that (when clicked on) access additional information. These fields are displayed on the screen in blue and underlined.
Note	<b>Note.</b> Note denotes important information. Accompanying text is set in a box with a header of Note.

Example	Description
Tip	<b>Tip.</b> Tip alerts the user to shortcuts and troubleshooting tips. Accompanying text is set in a box with a header of Tip.

**Note**

When screens are shown in this document, the browser title, menu, buttons, and other items are hidden to allow the MARx content to be displayed as large as possible. Also, the look of the browser varies by the browser version.

### 1.3 Additional Information

The following documents – the *Individuals Authorized Access to CMS Computer Services (IACS) User Guide*, the *Data Exchange Preparation Procedures*, and the *Connectivity and Access Configuration Process* provides additional information pertaining to Plan system activities. This information may be accessed via the following MMA Help web site links:

[http://www.cms.hhs.gov/MMAHelp/downloads/IACS\\_User\\_Guide.pdf](http://www.cms.hhs.gov/MMAHelp/downloads/IACS_User_Guide.pdf)

<http://www.cms.hhs.gov/mmahelp/downloads/DEPP.pdf>

[http://www.cms.hhs.gov/MMAHelp/downloads/Connectivity\\_and\\_Access\\_Configuration\\_Process.pdf](http://www.cms.hhs.gov/MMAHelp/downloads/Connectivity_and_Access_Configuration_Process.pdf)

### 1.4 MARx Overview

MARx calculates the payments to Plans for providing coverage to beneficiaries who are enrolled in its contracts. This coverage is principally for Part C and/or Part D of Medicare. Part C contracts are Medicare Advantage Managed Care Plans that provide Parts A and B benefits for their beneficiaries. Plan contracts provide drug insurance for beneficiaries who may be enrolled in either managed care or fee-for-service for their Parts A and B benefits. A contract may offer both Parts C and D. A contract may offer several Plan Benefit Packages (PBPs) with different levels of coverage.

Beneficiaries may need to pay premiums for their benefits for Parts C and/or D. Whether a beneficiary pays premiums depends upon:

- Premium charged by the Plan – this is based upon the level of coverage provided and negotiated with CMS.
- Beneficiary's income level – CMS subsidizes premiums for beneficiaries with low income.
- Late enrollment penalty – the beneficiary pays a late fee for Plan coverage if he or she did not enroll in a Plan contract when first entitled to it and did not have other creditable drug insurance coverage.

This section provides an overview of Plan interactions with MARx. These interactions fall into these categories:

**Exchange of files** – Plans submit transactions in batch files. In response, MARx generates transaction reports to provide the Plan with details concerning the processing status of the transactions. These reports include:

- Failed Transaction Report (FTR)
- Batch Completion Status Summary (BCSS)
- Enrollment Transmission Message File referred to as STATUS
- Bi-Weekly LIS/Premium Report
- Weekly/Monthly Transaction Reply Report (TRR)
- Month-End Processing Reports

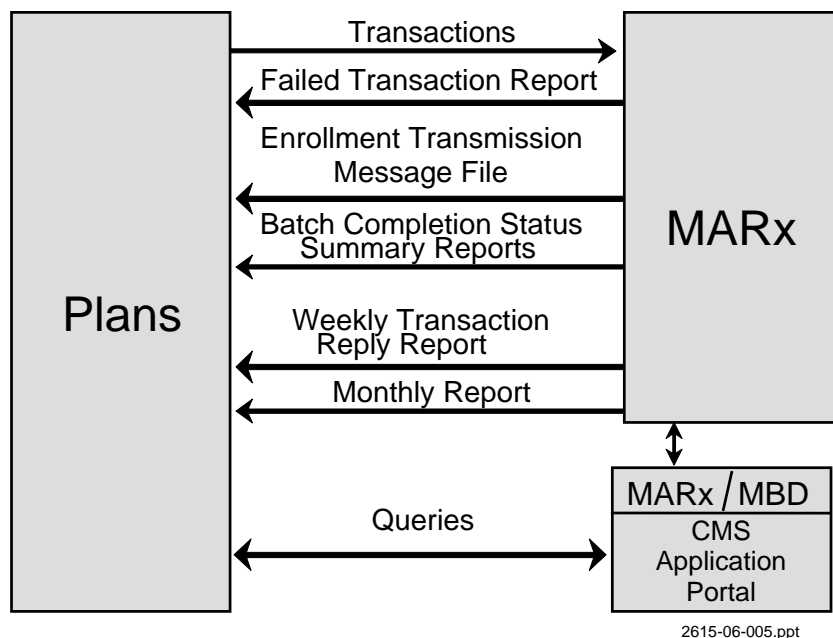
This data exchange process is described in further detail in Section 1.4.1, File Submission and Retrieval.

**Online access through a Web-based user interface** – Plans query both MARx and the Medicare Beneficiary Database (MBD) via an entry point called the CMS Applications Portal at: <https://applications.cms.hhs.gov>. The CMS Applications Portal allows the user to view enrollment, payment, and premium information from the MARx system and beneficiary information from the MBD. For a detailed description for using the MARx User Interface, refer to Section 4, Using MARx – Online Operations. For a detailed description for using the MBD User Interface, see *Section 5, Accessing the CMS Systems for Eligibility Verification*.

## **1.4.1 File Submission and Retrieval**

### **1.4.1.1 Batch Transaction File**

As shown in **Figure 1-1**, MARx Data Flow, a Plan submits transactions in batch files to CMS. These transaction files include enrollment, disenrollment, correction, and change transactions for beneficiaries enrolled in its contracts. The format for the transaction file is given in Appendix E, Record Layouts. Plans are encouraged to submit transaction files daily. MARx operates on a monthly processing cycle, and submittal of transactions throughout the month alleviates the backlog of requests that occur at the monthly cutoff date. For more information on the production cycle, refer to *Section 3.3, Production Schedule*.



**Figure 1-1. MARx Data Flow**

MARx defines processing windows during which files are submitted for processing for a specific payment month (Current Processing Month [CPM]). Transaction files contain a header indicating the CPM. A transaction file may contain transactions for the current processing month and one month prior (i.e., 1 month retroactive). Employer Health Group Plans (EGHPs) are allowed to submit transactions for the current processing month and the three prior months (i.e., 3 months retroactive). Transactions with effective dates that are prior to the CPM are considered retroactive (“retro”). Retroactive transactions that have processing dates outside these parameters require special handling. MARx does not process these transactions without approval from CMS. For instructions on submitting retroactive transactions, Plans must contact their CMS Central Office Health Insurance Specialist. Refer to *Appendix B, CMS Central Office Contact Information* for a list of the Central Office Contacts.

A transaction submitted to MARx is assigned one of four statuses: submitted, accepted, rejected, or failed. Failed transactions are those transactions that cannot be loaded into MARx for processing due to formatting errors which are reported on the *FTR*. Refer to *Appendix E.8, Failed Transaction Data Files* for detailed information. “Submitted” transactions are transactions by Plans for processing. Once processing is completed, the submitted status changes to either, failed, rejected, or accepted. Transactions that can be loaded into MARx, but encounter an error condition during processing are considered “Rejected”. “Accepted” transactions are transactions that were successfully processed by MARx. Specifics about rejected and accepted transactions are found on the *BCSS Report, Appendix E.3*.

The following paragraphs provide a high-level description of the reports that provide information about the status of the receipt of the Plan’s file along with the failed, rejected, and accepted transactions.

#### **1.4.1.2 Enrollment Transmission Message File referred to as STATUS**

When a Plan transmits a MARx file to CMS, the MARx system will acknowledge the receipt of that file by returning a STATUS file to the Plan. The contents of the STATUS file will include a batch ID that uniquely identifies the file to the Plan and MARx, a snapshot of the Plan-submitted header information for the Plan to verify, a recap of the number and types of transactions, and a status message as to the disposition of processing (e.g., Missing Header Record, Data Failed, Retro File Detected, etc.). Plans should use this file to track the successful (or unsuccessful) processing of their batch transaction files. For information regarding the format of the STATUS file, please see *Appendix I, Report Files*.

#### **1.4.1.3 Failed Transaction Report (FTR)**

The MARx system performs basic file validation and transaction formatting edits on the transactions before any further processing may occur. These checks verify the correct file header, user authentication, transaction format, and data types for the transaction data elements. If a transaction fails these basic edits, it is returned on the *FTR*. The Plan user who submitted the file receives the *FTR* immediately after initial processing of the file is completed. The *FTR* includes the original transaction and the failure error code. For information regarding the format of the *FTR*, please see *Appendix I, Report Files*. The failure error codes are described in *Appendix H, Codes*. The format of the *FTR* facilitates easy editing and re-submittal of the failed transactions.

#### **1.4.1.4 Batch Completion Status Summary Report (BCSS)**

Every transaction file submitted to MARx receives a unique batch processing number as the transactions are loaded into MARx. Once loaded into MARx, the processing of these transactions will result in rejected, accepted, or failed transactions. The *BCSS Report* will be generated when each batch has completed processing. This report will provide a count of all transactions within that batch, detailing the number of failed, rejected, and accepted transactions, and providing an image of the rejected, accepted, and pended transactions.

#### **1.4.1.5 Weekly Transaction Reply Report (TRR)**

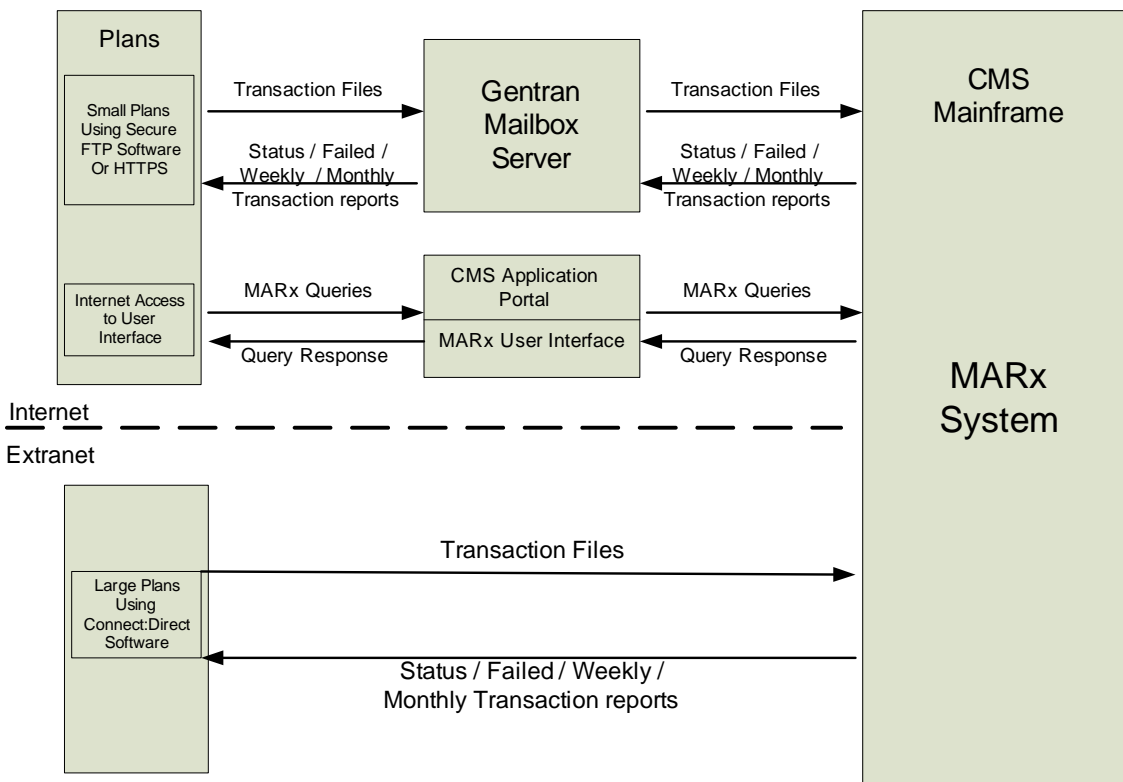
The *Weekly Transaction Reply Report (TRR)* provides the Plans with details of the rejected and accepted transactions that have been processed for members within its contracts for the processing week (typically Sunday through Saturday). It also provides details of MBD notifications involving contract members, for example, notification that a beneficiary has died. Failed transactions do not appear on the *Weekly TRR*; an image of the failed transaction is provided only on the *FTR* (see above). Details of the *Weekly Transaction Reply Report* are provided in *Appendix I, Report Files*.

#### **1.4.1.6 Monthly Reports**

MARx monthly reports provide payment information for the transactions submitted to MARx. These reports are delivered in a report format and a data file for further processing by the Plan, if the Plan desires. These reports provide a final disposition of all transactions that the Plan has transmitted for the processing month. A detailed listing of the month-end reports is provided in *Appendix I, Report Files*.

## 1.5 MARx Architecture

As described in *Section 1.3, MARx Overview*, Plans submit transaction files to MARx for processing and receive reports detailing the disposition for these transactions. Plans also have the ability to query information on a beneficiary using a User Interface. Interaction with MARx is accomplished by using the Internet using a Web Browser (see **Figure 1-2**) to access all User Interfaces and by using the Internet.



**Figure 1-2. MARx Architecture**

To determine which method of batch connectivity is appropriate for a Plan, CMS has established guidelines that identify two major categories based on the size of membership. Large Plans are defined as those with more than 100,000 members; small Plans are defined as Plans with 100,000 or fewer members. Large Plans are required to use a dedicated T1 circuit over the AT&T Global Networking System and Connect:Direct software for sending and receiving files from CMS. Small Plans have the option to use the same connectivity as large Plans (typically cost-prohibitive) or use the Internet for exchanging files with CMS. The Internet method requires the use of Secure FTP software or a web browser/HTTPS (Hypertext Transfer Protocol over Secure Socket Layer) to communicate with the GENTRAN Mailbox Server. Plans may contact the MMA Help Desk (Customer Support) at (800) 927-8069 or by email at [MMAHelp@cms.hhs.gov](mailto:MMAHelp@cms.hhs.gov) to obtain more information. Reference *Section 1.6, Interfacing with*

MARx, for an operational description of the use of these connectivity methodologies and *Section 2, Establishing Communication with CMS* for additional technical information.

## **1.6 Interfacing with MARx**

Plans interact with MARx by sending transactions (enrollments, disenrollments, corrections, and changes) to MARx. MARx sends reports detailing the status of these transactions as well as monthly reports detailing payment and premium information. Plans can submit queries to MARx using the CMS Applications Portal. Additional information about sending and receiving files and the CMS Applications Portal for both large and small Plans is explained below.

### **1.6.1 Sending and Receiving Files**

The number of beneficiaries enrolled in a Plan determines the method required to communicate with MARx. Plans with enrollment greater than 100,000 beneficiaries are considered large. Plans with 100,000 or less beneficiaries are considered small Plans.

#### **1.6.1.1 Large Plans**

Large Plans send and receive files using a T1 circuit connected to the AT&T Global Networking System and Sterling Commerce's Connect:Direct data transfer software product. The Connect:Direct software must be purchased and installed at the Plan's site to submit and receive files from MARx. The T1 circuit must be installed and configured by the Plan to establish data connectivity to the CMS Data Center.

Using Connect:Direct, the Plan will transfer their transactions to CMS. After processing the transactions, MARx sends the status reports associated with the transactions to the Plan. MARx establishes a connection from the CMS mainframe to the Plan's site for the file transfer.

Plans will need to contact Sterling Commerce to obtain the Connect:Direct software and for assistance in the configuration of the software. Plans are instructed to contact the MMA Help Desk for assistance in establishing and testing this connectivity with CMS. Refer to *Appendix K, MMA Plan Connectivity Test Checklist*, for additional information. Once communication is established with CMS, specific setup information for sending and receiving MARx transaction files is provided in *Section 2, Establishing Communication with CMS*.

#### **1.6.1.2 Small Plans**

Small Plans have the option of using the Internet for exchanging data with CMS (see Figure 1-2). Small Plans will access the GENTRAN Mailbox server to transfer files to and from CMS, using Secure FTP software or a web browser/HTTPS to connect to the GENTRAN server. Transaction files are placed on the GENTRAN server, where they are forwarded to CMS for processing. Report files from the transaction processing will be sent from CMS to the GENTRAN server. The Plan must logon to the GENTRAN server to retrieve any files generated from CMS. Transaction response files will be generated under the user identification (UID) of the person who submitted the transactions. A directory on the GENTRAN server will store the report files so the user can logon to the GENTRAN server and retrieve the files.

Monthly reports for Small Plans will also be made available on the GENTRAN server and will be stored in a directory under that Plan's contract number. Any user that has access to that contract will be able to download the contract's monthly reports.

Small Plans using the Internet must obtain and install the Secure FTP software or use a web browser/HTTPS to communicate with CMS. Details on obtaining and configuring Secure FTP software are available from the MMA Help Desk (Customer Support) (800) 927-8069 or by e-mail at [MMAHelp@cms.hhs.gov](mailto:MMAHelp@cms.hhs.gov). Once the Plan has installed and configured the software, the Plan must configure the software to send and receive files for MARx. Please refer to *Section 2, Establishing Communication with MARx*, for configuring the software for file transfers.

### **1.6.2 CMS Applications Portal Access**

Plans cannot submit transactions through the MARx UI, only through the batch file interface. Plans will be able to access beneficiary information using the MARx and MBD UI via the CMS Applications Portal. Access to the UI is gained via the Internet by using the Plan's link within the CMS Applications Portal at: <https://applications.cms.hhs.gov>. The user will enter the CMS Applications Portal and then, from the Plan's link, logon to either MARx or MBD UI to query Plan and beneficiary information.

Instructions on using the MBD UI can be found in *Section 5, Accessing the CMS System for Eligibility Verification*. Details about the MARx UI are provided in *Section 4, Using MARx – Online Operations*.



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## **2: Establishing Communication with CMS**

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This section explains the implementation of the software that is needed to communicate with CMS. In order to utilize MARx, the Plan must be registered with HPMS and have one or more valid contract numbers.

### **2.1 Getting Started**

To communicate with CMS systems, a Plan must:

- Obtain an ID and password
- Establish file transfer capabilities
- Establish connection to the UI Portal

#### **2.1.1 Requesting a User ID and Password**

Users of the MARx and MBD systems will require a user ID and password. Users will request a user ID by utilizing the Individuals Authorizes Access to the CMS Computer Services (IACS). For more information regarding IACS, refer to the *IACS User Guide* on the MMA Help web site. The hypertext can be found in *Section 1.3, Additional Information*.

##### **2.1.1.1 Password Management**

CMS users will manage their passwords by utilizing the IACS. For more information regarding IACS, refer to the *IACS User Guide* on the MMA Help web site. The hypertext link can be found in *Section 1.3, Additional Information*.

##### **2.1.2 File Transfer Setup**

As described in Section 1, Plans have two options for establishing connectivity to CMS for purposes of file transfer, based on the size of their membership. Large Plans, defined as greater than 100,000 beneficiaries, must use a T1 circuit with Connect:Direct software (from Sterling Commerce). Small Plans, defined as 100,000 or less beneficiaries, can use T1 Connect:Direct or a GENTRAN mailbox and SFTP/HTTPS for file transfer.

##### **2.1.2.1 Establishing T1 Line – Connect:Direct Connection**

In addition to hardware and software maintenance, each Plan is responsible for supplying CMS with information about its organization and users as well as testing its own interface with CMS.

Although testing and the supply of information primarily apply to the setup stage of the system, this responsibility continues into the operational phase. Each Plan must update its information as changes occur in its organization and report any information regarding the operation or malfunction of the system. Each Plan must repeat test procedures after altering system components, such as the installation of updated software or changes in hardware, network and/or telecommunications provider, or changes to their contracted third party arrangements.

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Large Plans will need to establish communications with CMS using the Connect:Direct software prior to configuring the software for transferring files for MARx. For more information regarding the setup of Connect:Direct software, please refer to *Appendix K, MMA Plan Connectivity Test Checklist*. A Plan can download the form requesting access to CMS using NDM/Connect:Direct Secure Point of Entry (SPOE) and the instructions for completing the access form from the MMA Help Desk web site: [cms.hhs.gov/mmahelp](http://cms.hhs.gov/mmahelp).

The following section outlines the configuration of the software for testing and production.

### 2.1.2.1.1 **Connect:Direct MARx Setup**

Data may be transmitted at any time during the month but Plans should be aware of monthly enrollment/payment cutoff dates. CMS prefers daily file transfers to reduce the workload during the end-of-month cutoff period. (Refer to *Appendix C, Monthly Schedule*). This ensures that your data transmission is received by the cutoff date and gives the user time to resolve any transmission problems. Files received after the cutoff date are held for processing once the month-end processing is complete.

NDMWORKS is used by Plans to transmit files to CMS. The NDMWORKS process is executed at the Plan site and programmed on the Plan's mainframe. This process is usually executed in the batch program environment. The Plan programmer can select any name for the NDMWORKS process.

**Table 2-1: NDMWORKS Process Code**

PROCNAME	PROCESS	PNODE=XXX.XXXX SNODE= CD.DDP OR SNODE=NDM.HCFA SNODEID=(NDMXXXXXX,NDMXXXXXX) OR SNODEID=(TWXX,XXXX)
STEP1	COPY	FROM (DSN= <i>your.input.dataset.name</i> DISP=SHR PNODE) TO ( <a href="#">DSN=user.@BGD5050.TRANSFER.DATA</a> DISP=(SHR) DCB=(RECFM=FB,LRECL=224) SNODE) COMPRESS(EXT)

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The Plan's programmer must fill in the following variable information before executing the NDMWORKS process:

PROCNAME:	The programmer may select any name for this process.
PNODE:	This is the Plan node name.
SNODEID:	This is the Plan SPOE(NDMXXXXX) OR TW ID(TWXX) security issued by CMS that allows a Plan to create data files on the CMS system.
SNODE	The Connect: Direct region at CMS is the region that the Plan communicates with to exchange files. The CD.DDP regions were created to support the Discount Drug Program and most Plans communicate with it. NDM.HCFA is the Medicare region that long time Medicare contractors communicate with. Check with the MMA Help Desk at 1-800-927-8069, if the user is not sure which CMS region your Plan communicates with.
<i>your.input.dataset.name</i>	The submitters dataset name
<i>user</i> .@BGD5050.TRANSFER.DATA	Target dataset name where <i>user</i> = submitters CMS RACF ID.

### **2.1.2.2 Establishing a GENTRAN Connection**

Small Plans communicate with CMS using Sterling's Secure FTP software or HTTPS (Hypertext Transfer Protocol over Secure Socket Layer) to transmit and download files from the GENTRAN Mailbox servers (Small Plans must first establish connectivity with CMS before configuring the system to transfer files to and from MARx. For establishing communications with CMS and configuring software for transferring MARx files, please refer to Appendix K). Plans using the GENTRAN server will follow GENTRAN Incoming File Naming Convention Standards as defined in *Section 2.1.2.2.1, Incoming File Name Convention*.

### **GENTRAN Outgoing File Naming Conventions (GENTRAN Back to the Plan)**

The filenames of all data files and reports being sent to the Plans from CMS will follow the CMS EFT naming standard (refer to *Appendix J, Transmission Inventory* for a complete list). GENTRAN will then append a unique identifier to the end of the file. When downloading the

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file from your organizational mailbox, the user may change the file name in accordance with your organizational naming requirements. Reference the business application guidelines or transmission inventory document for specific file names.

### **GENTRAN File Size Limitation**

The inbound file size limitation is 1.5 GB with or without compression. If trading partners are submitting or retrieving larger file sizes, they may need to consider switching to Connect:Direct and acquiring a MDCN/Evpn (MPLS) circuit.

### **CRLF Considerations**

The CRLF (carriage return line feed) characters will be handled by GENTRAN.

### **ZIP Utility Software**

At the present time GENTRAN cannot support multiple files within a single compressed file name.

<b>Note</b>
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Compression utilities must support long file names (i.e., WINZIP Version 9 or higher).
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### **File Path Limitation**

A limitation has been found relating to the use of the HTTPS mailbox interface. The ActiveX control use to browse for a file (written by Microsoft) has a limitation of 128 characters for the entire path/file name.

If a path/file name exceeds this 128 character limit, then the file will not be transmitted. The path/file name is the result of the Microsoft browse button and produces a result of “c:\folder1\folder2\folder3\filename.extension.” The total character count must remain under the 128 character limit for anyone using the HTTPS mailbox interface.

### **GENTRAN Access Requirements**

#### **GENTRAN Access**

To access GENTRAN, please use your GUID that was provided by the IACS system. This should be your 7-character user ID.

Plans may have only **4 submitters** per contract. Designated submitters are identified within the Plan organization and approved by the local External Point of Contact (EPOC).

#### **HTTPS GENTRAN Mailbox Access and System Requirements**

Small Plans and/or those specifically identified will use either HTTPS or the Sterling SFTP Client for file submission or file retrieval.

Internet URL – <https://gis.cms.hhs.gov:3443/mailbox>

HTTP Screen Shot User Guides are available through the MMA Help Desk.

#### **Trading Partner Firewall**

Port 3443 is used for connectivity to the GENTRAN facility (do not use the typical Port 80 for HTTP or Port 443 for HTTPS).

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## **Browser Requirements:**

Microsoft Internet Explorer 5.x or later

CMS recommends that EFT users/Business Partners use a Microsoft Operating Systems that is currently supported by Microsoft and at the appropriate Service Pack Levels.

To eliminate the HTTPS Security Pop-up after the user has downloaded the GENTRAN Certificate, the end user may need to update his/her VeriSign Class 3 Certificate. Instructions are available from the MMA Help Desk.

## **FTP SSH Client GENTRAN Mailbox Access and System Requirements**

Small trading partners and/or those specifically identified will use either HTTPS or the SFTP Client for file submission or file retrieval. CMS recommends the Sterling FTP client. If Plan will be using a client other than what has been recommended, it must also support SSH V2.

Connectivity troubleshooting and/or configuration parameter assistance will be very limited with the use of other FTP clients. Sterling FTP user manuals are available from Sterling Commerce. The MMA Help Desk will provide the client configuration parameters for accessing the CMS GIS system.

CMS does not procure and/or provide licensing for the Sterling SFTP client. The decision to use HTTPS or FTP client is the responsibility of the end user or trading partner.

Sterling FTP Client minimum platform and hardware requirements may be obtained from the Sterling Commerce web site (<http://www.sterlingcommerce.com>) or by contacting Sterling Commerce. Sterling FTP software support services are available from Sterling Commerce. When calling Sterling Support Services, mention that user is either 1) using a CMS licensed version of the Sterling FTP Client or 2) need assistance with the Sterling GTP Client in relation to a CMS Project/Program. CMS Help Desk and the MMA Help Desk do not provide Sterling FTP Client installation, configuration or technical software support services.

## **Trading Partner Firewall**

TCP Port 10022 for SFTP with SSH is used for the SFTP sessions.

### **Sterling SFTP Client Minimum Requirements for CMS GENTRAN Access**

At the minimum, Plans must use the Sterling SFTP Client Version 1.3.00, dated May 2005 with patch. The patch may be applied to versions higher than 1.3.00, dated May 2005; however, do not apply the patch to Version 1.3.00, dated March 2005.

The patch and directions for installation are available through the MMA Help Desk.

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### ***Mailbox File Retentions***

<b>Application</b>	<b>Minimum Retention</b>
MARx	Monthly reports 30 days total, all other reports 6 days (including weekends)
MBD (BEQ/4RX/Auto Assign)	All files 6 days (including weekends)
DDPS PDE/RAPS	All files 14 days (including weekends)
COBA/VDSA	All files 6 days (including weekends)
HPMS	All files 6 days (including weekends)
Electronic Correspondence Referral System (ECRS)	All Files 6 days (including weekends)

#### ***2.1.2.2.1 Incoming File Name Convention***

Files sent to the Enterprise File Transfer Facility (GENTRAN mailboxes) should follow the naming convention below.

**Filename IN ALL CAPITAL LETTERS**

**Example: GUID.RACFID.APPID.X.UNIQUEID.FUTURE.W.ZIP**

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### Incoming File Name Convention:

File Name Convention	Description
GUID	7 character alphanumeric user ID generated by the Individuals Authorized Access to CMS Computer Services (IACS).
RACFID	4 character RACF user ID. Note: If a RACF ID was not assigned, insert NONE.
APPID	Application Identifier
X	D – DAILY W – WEEKLY M – MONTHLY Q – QUARTERLY Y – YEARLY A – AD HOC <b>Note:</b> This field indicates type of data, e.g., Daily, Monthly. However, multiple file types may be transmitted on the same day. (e.g., 2 Daily submissions).
UNIQUE ID	If no UNIQUE ID, insert DEFAULT refer to business applications guidelines and/or transmissions inventory
FUTURE	FUTURE unless otherwise specified. This field is reserved for future use. (For additional reference, see business application guidelines and/or transmissions inventory).
W	Code T for test data Code P for production data
ZIP (Optional)	Only used when file compression is used and automatically added to the file name by the ZIP application, e.g., WINZIP or PKZIP. Note: WINZIP version 9 or higher is required to support long file names.
. (Periods)	Delineators

#### 2.1.3 CMS Applications Portal Access Setup

The CMS Applications Portal provides the gateway for users to query both beneficiary (MBD) and MARx data. The CMS Applications Portal is available on the Internet. Instructions for accessing the CMS Application Portal can be found in *Section 4, Using MARx – Online Operations*.

#### 2.1.4 Points of Contact

##### Contact Information

CMS is providing a technical customer support mechanism for CMS' external customers. The MMA Help Desk will provide Plans with quality support for all of the Plans' connectivity needs, as well as aid in resolving technical application needs. The Help Desk is currently available via a toll-free line (800) 927-8069 or email, [mmahelp@cms.hhs.gov](mailto:mmahelp@cms.hhs.gov). In addition, a library of all Plan/CMS files and transactions are located at: <http://www.cms.hhs.gov/mmahelp>.



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## 3: MARx Processing

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MARx processing occurs on a monthly cycle where transactions are received until a cutoff date. Beneficiary enrollments, disenrollments, Plan Benefit Package (PBP) changes, Plan changes, and corrections are processed as they are entered into the system, and payments are calculated immediately. In the month-end cycle, MARx writes the monthly reports and calculates the final summary beneficiary payments and adjustments, which ultimately become payments to the Plans.

### 3.1 Transaction Processing

The following steps are taken to process transactions from a Plan:

- A Plan submits transaction files to MARx using Connect:Direct, Secure FTP software, or Web Browser/Hypertext Transfer Protocol Secure (HTTPS). The transaction files are read and loaded into internal tables for MARx processing (posting).
- If a transaction is accepted, MARx immediately calculates payment (and/or adjustments) and adds or subtracts the net dollar amount to the totals for the contract for each month. These totals are dynamic and may change each time a transaction is processed for a contract, until the monthly payment operations are concluded and final.
- If a transaction is not accepted, it may either fail or be rejected.
  - A “failure” results when incoming data is not consistent with the database rules. A transaction fails during processing when it contains an error that is too severe to attempt to process and store the data in the system. For example, if the contract number is longer than a valid contract number, the transaction cannot be saved in the database and therefore fails. The transaction is written to the *FTR* and transmitted to the submitter (user) for review.
  - A “reject” results when incoming data is of the correct type but cannot be successfully processed due to some inconsistency that violates an enrollment validation check or rule. For example, if the contract number does not identify a valid contract, MARx would reject the transaction. Rejected transactions are reported on the *BCSS Report* that is transmitted to the submitter (user).
- Multiple files can be submitted each month, and a Plan's transactions are processed as they are received, giving the user time to review any errors, correct records, and resubmit them before the monthly summary is completed and final payment is calculated.
- Details of batch-submitted transactions will appear on the Weekly and Monthly *Transaction Reply Reports* and Data Files.
- For all aforementioned reports, please see *Appendix I, Report Files*.
- Record layouts for transactions are provided in *Appendix E, Record Layouts*.

## 3.2 MARx Reports

MARx communicates the disposition of a transaction through a variety of reports that are transmitted to the Plan users. The STATUS and *FTR* reports are transmitted to the Plan upon receipt of a transaction. The *BCSS Reports* are transmitted to the Plan upon completion of processing a batch. In addition, the *Weekly TRR* provides a disposition of transactions submitted for a contract each week. Monthly reports include enrollment and payment reports that reflect the status at the completion of the monthly process.

In addition to reports, MARx generates data files so that Plans may easily import information into their own systems if desired. Details for the reports and data files are given in *Appendix I, Report Files*. Failed and rejected transactions will need to be corrected and resubmitted to MARx for processing. Plans validate payments at the beneficiary level based on information (enrollment, disenrollment, applicable health statuses, etc.) in effect at the time of processing via the *TRR* and *Monthly Membership Detail Reports*.

## 3.3 Production Schedule

The following section describes the processing flows for submitting transactions to CMS and retrieving reports from CMS. In general, MARx transaction processing occurs during the first few weeks of the month until a cutoff date, which changes each month. At the cutoff date, MARx suspends the processing of new transactions. The month-end process performs final summarization of beneficiary level payments to Plan level payments. Monthly payments are reviewed by CMS before they are approved. Once approved, MARx closes the current month and resumes the processing of transactions for the next month.

### 3.3.1 Daily Processing

- Plans transmit beneficiary enrollment, disenrollment, PBP change, Plan change, and correction [to identify Medicaid and Institutional/Nursing Home Certifiable (NHC) statuses] transactions to the CMS Data Center via Connect:Direct, Secure FTP, or Web Browser/HTTPS. Each transaction file is transmitted to a data set at CMS named XXXX.@BGD5050.TRANSFER.DATA, where XXXX is the ID of the user who submits the file. For information regarding transmissions to CMS, refer to *Appendix J, All Transactions Overview*.
- Plans verify MARx processing of data via various report files returned after processing the transaction file. The Plans receive STATUS reports, which acknowledge receipt of a transmitted MARx file from the Plan, and *FTRs*, which detail the transactions that did not meet the basic file validation and transaction formatting edits. Failed transactions do not appear on any report other than the *FTR*. The STATUS and *FTR* reports are transmitted to the Plan upon receipt of the transmitted file. A list of accepted and rejected transactions is provided on the *BCSS Report*. This report is generated when processing for the batch is complete.
- Throughout the month, MARx processes enrollment, disenrollment, Plan change, and correction data as this data is received and updates individual beneficiary records.

- Throughout the month, MARx computes beneficiary-level payments and premiums based on updated enrollment, disenrollment, PBP change, Plan change, and correction data. This information is then summarized at the contract level. This summary includes any applicable adjustments, subsidies, and penalties.
- MARx provides each Plan with *Weekly TRR* that summarize the disposition of transactions received for the week for its contracts. Plans may also utilize this report to correct and resubmit failed and rejected transactions to MARx.

### **3.3.2 Monthly Processing**

- MARx creates contract payment validation reports.
- The CMS staff reviews these reports and authorizes contract payments for the month.
- The Automated Plan Payment System (APPS) transmits Plan payment data to the CMS financial control system. From there, a file is transmitted to the U.S. Treasury, where funds are electronically dispersed to Plan banking institutions.

The Monthly Schedule is provided in *Appendix C, Monthly Schedule*.

### **3.3.3 MARx Interfaces**

#### **3.3.3.1 Health Plan Management System (HPMS)**

- A close association exists between MARx and HPMS. The HPMS contains complete information about contracts between Plans and CMS. As such, these systems provide a basis for validating contract, PBP, segment numbers, and service areas. Most important, these systems identify the type of contract and Plans, which links to rules for enrollment and payment. These systems also provide MARx with information about terminations, rollovers (where some or all beneficiaries in one contract are automatically moved to another contract), payment rates, and rebate amounts. Changes to contract and Plan information are reported to MARx. If the changes affect payments, MARx automatically calculates a new payment and any appropriate adjustments.

#### **3.3.3.2 Risk Adjustment System**

- The Risk Adjustment System (RAS) provides MARx with beneficiary-specific risk adjusted factors that are used in calculating Parts C and D payments. The factors are based on each beneficiary's medical history as reflected in claims and encounter data.
- Risk-adjusted factors are calculated annually. They are updated midyear and reconciled a few months after the end of the year. When these changes occur, MARx will automatically recalculate payments and make appropriate adjustments.

#### **3.3.3.3 Automated Plan Payment System (APPS)**

- MARx is responsible for calculating payment amounts for beneficiaries enrolled in Plans. At the end of the monthly payment cycle, payments and enrollments are summarized in different categories and transmitted in files to the APPS. At this point,

MARx stops processing new transactions for that month while CMS accountants review sample reports from the month's processing.

**Note**

Transactions submitted after the monthly cutoff date will be processed and recorded on the next month's reports.

- If the accountants find no problems with the sample data, they certify (approve) the month's processing and allow APPS to generate a file of payment records. This file is passed to CMS's main accounting system, then to the U.S. Treasury where wire transfers to the Plans are initiated.
- If the accountants find a problem, MARx has built-in backup procedures that allow all or part of the monthly run to be reprocessed.

## 4: Using MARx – Online Operations

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The MARx system accommodates online and batch processing. Online capabilities are used to view beneficiary or contract information. Batch capabilities are used to submit data, such as a set of enrollments and disenrollments. This section addresses the online capabilities. Refer to *Section 1.4.1, File Submission and Retrieval* for information on batch processing.

MARx online operations support the following capabilities:

- Logon and view messages
- View beneficiary information
- View payment information
- View premiums charged by Plans
- Request historical reports

Information is available for enrollments starting from July 1966, with the exception of older reports. For retrieval purposes, the availability of both the reports generated by MARx and the legacy MMCS and Group Health Plan (GHP) reports is dependent on the date that a given report was migrated to archive status and the CMS retention policy for MARx/MMCS reports that have been archived to tape.

The following sections describe MARx online processing.

### Note

This section may be read in its entirety, but it is also designed to be used for reference. Each topic provides content that is specific to that particular topic. The majority of the general information (such as common buttons, navigation processes, and messages) is provided either in *Section 4.1, Getting Started*, or in the appendices, and is not duplicated in the remainder of this section.

### Note

All of the beneficiary, contract, and user information in the screen snapshots in this document is fictional. The names and Social Security Numbers (SSN) do not identify any person living or dead. The claim numbers start with '997,' '998,' or '999' because those numbers are never assigned.

## **4.1 Getting Started**

This section provides some basic information necessary to conduct MARx online operations:

- Accessing MARx and logging onto the system
- Changing your password
- Logging out of the system
- Understanding roles and privileges
- Using the screens
- Navigating the system

### **4.1.1 Accessing MARx and Logging On to the System**

#### **4.1.1.1 How Do I Get Started Using MARx?**

After obtaining a CMS user ID and password (see *Section 2.1.1, Requesting a User ID and Password*), a MARx user profile will be created for the user. The user's profile will define the tasks that the user is allowed to perform. One or more roles will be assigned to a user based on the user's job responsibilities. One of these roles is marked as the default. The user may logon, and accept the default role or choose one of the other roles assigned to the user. The profile also defines which contracts the user may access.

#### **4.1.1.2 How Do I Logon to MARx?**

MARx will be accessed using the CMS Applications Portal. A user will logon to the CMS Applications Portal and then select the MARx link to access the MARx system. Refer to *Section 1.6.2* for information on the CMS Applications Portal.

### **4.1.2 Changing Your Password**

Password management will be handled using the CMS IACS. For more information on IACS, refer to the IACS User Guide on the MMA Help web site (Refer to *Section 1.3, Additional Information* for the hypertext link).

### **4.1.3 Logging Out of the System**

When a user is ready to exit MARx, logging out will close the browser in windows. Refer to *Section 4.2.4, Logging Out of MARx*, for the steps for logging out. Closing the browser will also log the user out of the system.

## 4.1.4 Understanding Roles and Privileges

### 4.1.4.1 What Are the Different Roles and Privileges?

MARx is a role-based system, which provides a secure environment for MARx data. (A role describes a user's "job" by the tasks that a user may perform.) To fulfill the security goals, MARx provides functionality and data filtering based on the needs of users and security considerations. The MARx security administrator can adjust access rights as needed to accommodate each user.

The roles currently defined for Plan users are as follows:

- **MCO Representative** — an individual who works for a Plan managing beneficiaries in the Medicare program via MARx. MCO representatives can access data only for their own membership. They cannot transmit batch files containing membership changes and health status corrections.
- **MCO Representative Transmitter** — this role has the same capabilities as the Plan Representative role, with the additional ability to transmit batch files containing membership changes and health status corrections.

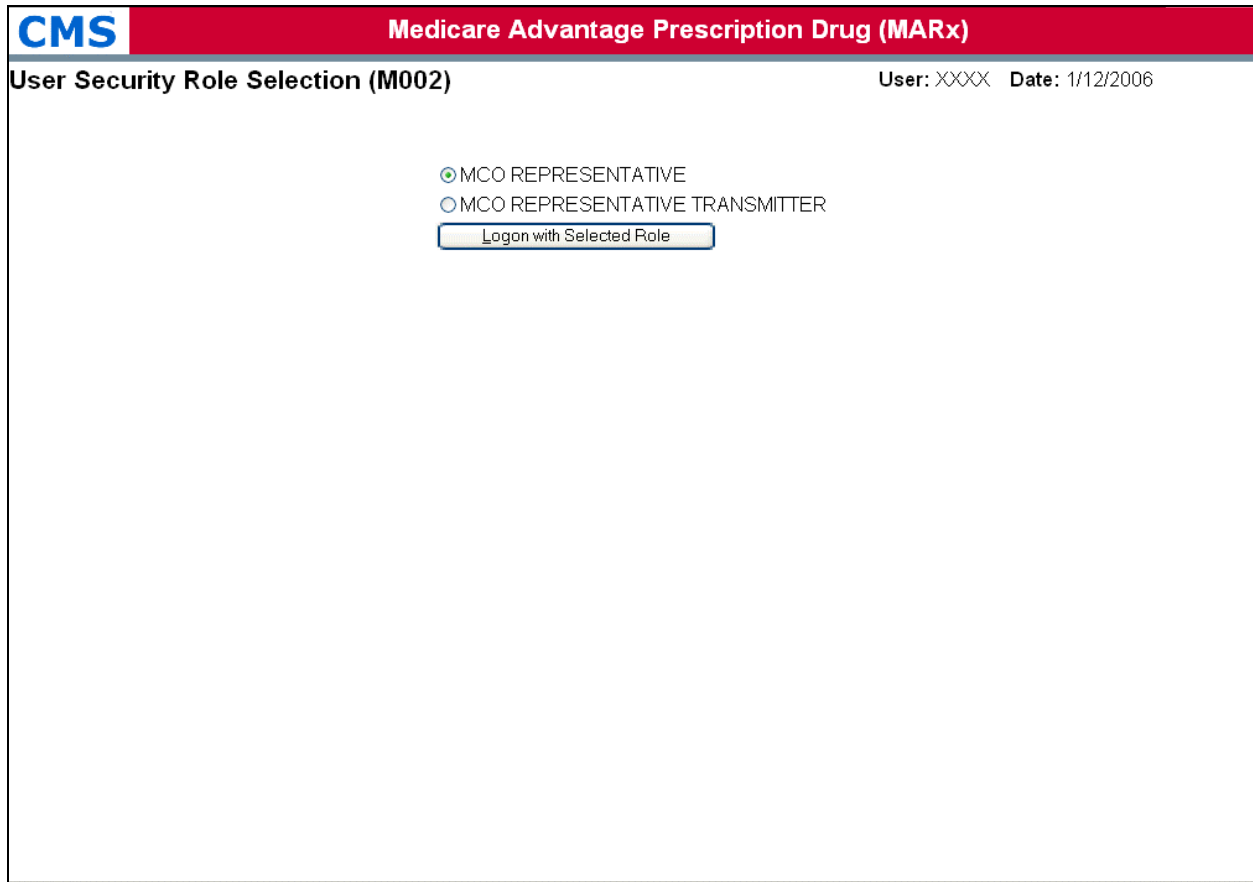
#### Note

MARx Screens display the term 'MCO' rather than 'Plan'. 'MCO' represents all types of Managed Care Plans (e.g., Cost Plans, MA Plans, MA-PD Plans, and PDPs).

### 4.1.4.2 Can I Change My Role?

The first screen a user sees once logged on to MARx is the *User Security Role Selection (M002)* screen. It appears only at logon and cannot be accessed by using the menu system. Each time a user logs on to MARx, a list of roles is presented in the user's profile. **Figure 4.1-1** lists roles for the user XXXX, who is eligible to choose either of the user roles.





**Figure 4.1-1. User Security Role Selection (M002) Screen**

#### **4.1.5 Using the Screens**

##### **4.1.5.1 General Properties of Screens**

MARx screens share many properties. Once a user recognizes how the screens are organized, the user can quickly and easily find the needed information.

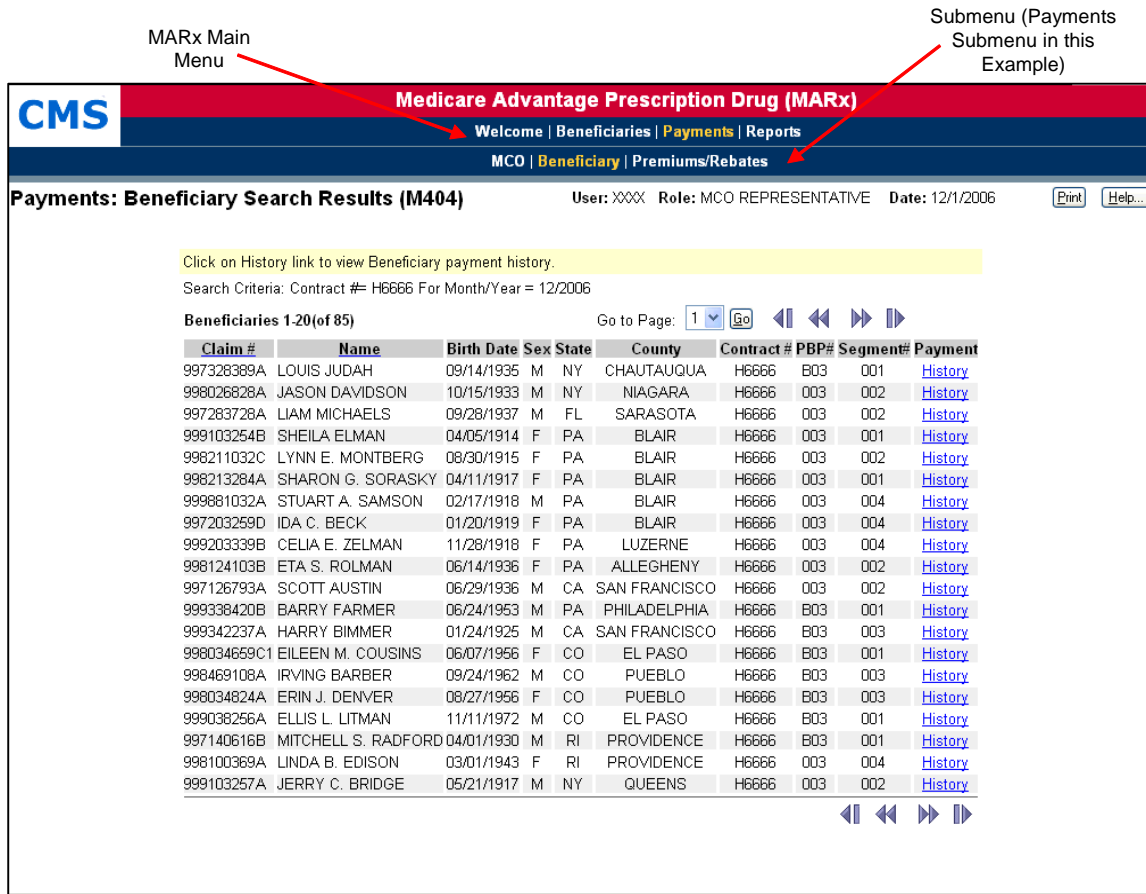
There are two main types of general screen layout: primary and secondary (pop up). The principal differences between a primary window and a secondary window are the design and content of the headers and the manner in which the user navigates among the screens.

There is also a third special type of screen, the logout window, which remains in the background for the duration of the user's MARx session.

##### **4.1.5.2 Screen Layout – Primary Screens**

The main window contains a primary screen with a menu and submenu. Only one primary screen will be open at a time. The new screen replaces the previous primary screen in the main window when navigating from one primary screen to another.

The heading of each primary screen contains the MARx main menu (see **Figure 4.1-2**). In most cases, there is a submenu below the main menu, which provides options based on the menu item chosen. The selected menu and submenu items are highlighted in yellow on the system.



2615-06\_001

Figure 4.1-2. Example of a Primary Window

#### 4.1.5.3 Screen Layout – Secondary Screens

A secondary screen is opened from a primary screen to “drill-down” for more information. It is displayed in a new pop-up window. Multiple pop-up windows may be open at a time. When a user switches primary screens, any open secondary screens associated with that primary screen will be closed automatically.

Secondary screens do not have the menu/submenu headers shown on primary screens. Instead, they have headers that vary based on the screen. Many secondary screens have a header that provides information specific to the contents of the screen. In the example shown in **Figure 4.1-3**, the header information, which is indicated with a brace, is specific to the selected beneficiary and includes such information as the beneficiary’s name; claim number; date of birth (DOB), date of death (DOD) when applicable; street address; age; sex; state; and county.

Menu

Beneficiary-Level Header

**Claim #:999876543A** **VERNA M. MILLER** **DOB: 04/06/1914**  
 112 E WILLOW AVE Age: 91 Sex: FEMALE  
 ALTOONA, PA 16601-3944 State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | Payments | Adjustments | Premiums | Factors

**Beneficiary Detail: Enrollment (M204)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006 [Close] [Print] [Help...]

Enrollments 1-2(of 2) (Click on Contract# to view details)

	Contract	PBP #	Seg #	Drug Plan	Start	End	Source	Disenroll Reason	Action
1	<a href="#">H6666</a>	A01	123	N	08/01/2006				<a href="#">Payment</a>
2	<a href="#">H9999</a>	013	000	N	01/01/2006	07/31/2006		DISENROLLMENT BECAUSE OF ENROLLMENT IN ANOTHER PLAN	<a href="#">Payment</a>

2615-06\_002

**Figure 4.1-3. Example of a Secondary Window (Pop-Up)**

In addition, some secondary screens have their own navigation — a lower level menu system. In the example, the secondary-level menu consists of the following items [Snapshot], [Enrollment], [Status], [Payments], [Adjustments], [Premiums], and [Factors]. A user can move among these screens by clicking the appropriate menu item.

One feature unique to the secondary window navigation is a [Close] or [Cancel] button. Clicking one of these buttons closes that secondary window.

**4.1.5.4 Some Common Features of the Screens**

Below the headings, most of the screens have the same format. The top of the screen has a title line with the following information, as shown in **Figure 4.1-4**.

**Screen Name**: Beneficiary Detail: Payments (M206)

**Screen Identifier**: M206

**Print and Help Buttons**: Close, Print, Help...

**Table Showing Data**: Payments 1-9 (of 9)

**Buttons**: Find, Reset

Payment Date	Contract	PBP#	Seg#	Payments				Adjustments				Total Pay+Adj	Part B Premium Reduction	Regional MA BSF
				Part A	Part B	Part D	Total Pay	Part A	Part B	Part D	Total Adj			
11/2006	H6666	A01	123	\$0.00	\$0.00	\$0.00	\$0.00	\$86.76	\$39.54	\$0.00	\$126.30	\$126.30	-	\$0.00
10/2006	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00
09/2006	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00
08/2006	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00
07/2006	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
06/2006	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
05/2006	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
04/2006	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
03/2006	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$739.68	\$505.02	\$0.00	\$1,244.70	\$1,867.05	-	\$0.00

Figure 4.1-4. Common Features of a Screen

- Screen name, which describes the screen's purpose. A primary screen's name reflects how the screen was reached using the menu and submenu.
- Screen identifier, which starts with an 'M.' This identifier can be useful when asking for help, reporting a problem to the help desk, or using this *Guide*.
- User ID
- User's current role
- Current date
- [Print] and [Help] buttons (and the [Close] and other buttons for secondary windows)

Some windows also display additional buttons.

The message line appears below the title line. Error messages are displayed in red, and messages indicating success are displayed in green. If there is no message, this area of the screen is blank.

Many screens have instructions at the top, which are displayed on the screen with a yellow background to provide information on how to use the screen. Additional information is available by clicking on the [Help] button.

A screen may contain input (data entry) fields, output (information) fields, and links to other screens, tables, etc. **Figure 4.1-5** shows an example of a screen with links that display:

- Additional information on the same screen (the Action column link [Payment](#) in the first table.
- Other screens (the Contract column links [H6666](#) and [H9999](#) in the first table and the dates – [07/2006](#) through [03/2006](#) – in the Payment Date column link of the second table.

Claim #:999876543A  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944
VERNA M. MILLER  
DOB: 04/06/1914  
Age: 91 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | Payments | Adjustments | Premiums | Factors

**Beneficiary Detail:Enrollment (M204)**      User: XXXX    Role: MCO REPRESENTATIVE    Date: 11/15/2006    Close    Print    Help...

Enrollments 1-2(of 2) (Click on Contract# to view details)

	Contract	PBP #	Seg #	Drug Plan	Start	End	Source	Disenroll Reason	Action
1	<a href="#">H6666</a>	A01	123	N	08/01/2006				<a href="#">Payment</a>
2	<a href="#">H9999</a>	013	000	N	01/01/2006	07/31/2006		DISENROLLMENT BECAUSE OF ENROLLMENT IN ANOTHER PLAN	<a href="#">Payment</a>

Payments 1-5(of 5) for Contract# H9999 (Click on Payment date for details)

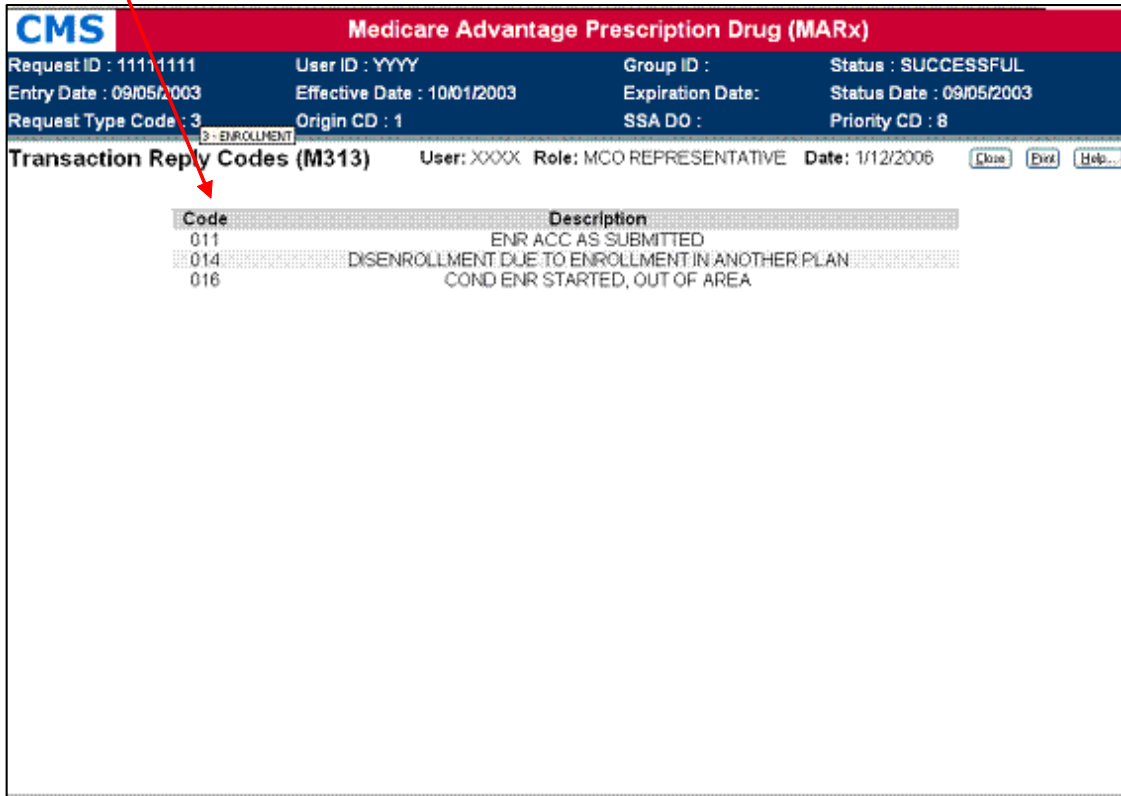
Payment Date	Contract#	Payments	Adjustments	Hospice	ESRD	Working Aged	Inst	NHC	Medicaid	Disability	CHF	Part B Premium Reduction
<a href="#">07/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">06/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">05/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">04/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">03/2006</a>	H9999	\$622.35	\$1,244.70	-	-	-	-	-	-	-	-	-

**Figure 4.1-5. Example of a Screen with Links**

There may be additional buttons that perform operations on the screen. For an example, refer to **Figure 4.1-4**.

Some screens show information using a numerical code. When there is room on the screen, a description of the code is also displayed. In cases where there is no room, a description is available by placing the mouse pointer over the code, which will cause a description to pop up. See **Figure 4.1-6** for an example.

Code and Pop-Up Description



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**Figure 4.1-6. Example of a Code with a Pop-Up Description**

#### 4.1.5.5 Some Common Characteristics of the Screens

Screens are customized by role in several ways:

- Not all screens are available to each role. The menu and submenus include links only to the available screens. For example, the screen that is used to order historical reports is not available to each role.
- The fields and buttons on some screens vary by role.

Screens may carry out one or more of the following functions:

- Find specific information
- Display information
- Provide links/buttons to additional functions

Many screens contain forms that users fill out and buttons users must click on to carry out an action. Some fields are required and others are optional. In some cases, it is required that one of several fields be entered. A red asterisk (\*) appearing next to a field indicates that an entry is required. A red plus sign (+) appearing next to a field indicates that one or more of those fields must have an entry before the user can proceed to the next screen.

Sometimes there are additional rules regarding what combination of fields is acceptable and those rules are often indicated in instructions on the screen.

There are different ways to enter information into a field:

- Text entry. Most fields (such as claim number or contract) allows the user to type in the information.
- Dropdown list. Some fields (such as file type) provide a list of values from which the user can select. Click on the down arrow next to the field to display the list and then click on a value to select it. To delete your selection, select the blank value, which is at the top of the dropdown list for an optional field.
- Radio buttons. Choose one of the items in a group by clicking on the circle next to that item.
- Check boxes. Select any number of the items in a group by clicking on the box next to each item to be selected.

Some fields are initialized with default values. For example, date fields are often initialized with the current date.

The information that is entered on the screen is validated to ensure the request is valid and an error message is displayed when the entered information is not correct.

Information that is entered in a field is validated when that field is exited (such as tabbing or clicking elsewhere on the screen). The field is color coded — “yellow” for a valid field and “pink” for an invalid field. When a field is invalid, it is selected (i.e., highlighted), and an error message is displayed in “red” below the title line.

Some validations are not performed the field is exited, but rather when a user clicks on a button. Generally this happens when the validation involves the relationship between fields, such as checking that a start date is not after an end date. When an error is detected upon clicking a button, an error message is displayed and the button's action is not carried out.

After validation is complete, the user's action is submitted. The buttons on the screen (except for the [Print], [Help], [Close], and [Cancel] buttons) are disabled (grayed out) until the action is complete, to prevent a button from being clicked multiple times. Also, a message is shown, asking that the user wait until the requested action is completed. If the processing succeeds, a message indicating that the action was successfully completed is displayed in “green”. If the processing encountered an error, a message explaining the problem is displayed in “red”, and the user's inputs are displayed on the screen again.

#### **4.1.5.6 Screen Components**

A screen may contain links to other screens (in addition to the links on the menu and submenu). These links are indicated by underlined words.

When a screen displays a list of information, such as information on multiple beneficiaries or transactions, that information is displayed in a table. When there are too many rows in the table to fit on one screen, only a portion of the table is displayed at one time. The [screen navigation arrows](#) at the top and bottom of the table allow the user to scroll through the list. When the first

page is displayed, the back [arrow](#) is disabled. When the last page is displayed, the [forward arrow](#) is disabled. There are additional arrows for advancing directly to the first or last page. Users can also go directly to a particular page by selecting a page number from the list displayed at the top of the table, next to the arrows, and clicking the [Go] button. If all of the information fits on one page, there are no arrows or page number list.

If a column heading in a table is underlined, the table can be sorted by the information in that column. Click on the column heading to sort by that column in ascending order. (Note that the column heading does not act as a toggle, i.e., clicking on the heading a second time does not return the screen to the previous sort order nor does it sort the column in descending order.) Sorting is done for all rows in the list, not just for the rows on the current page, so different rows may appear on the screen after sorting.

#### **4.1.5.7 Accessibility**

Though most users will use a mouse to move through screens, it is also possible to navigate, select items, and click on actions using only the keyboard. The tab keys can be used to move from one screen element to the next, including links, fields, and buttons. To move backward from one screen element to the previous one, hold down the <SHIFT> key when tabbing. To select a particular radio button, use the tab keys to move to the radio button that is selected within a group of buttons, and then use the arrow keys to change which button is selected in the group. To select or deselect a check box, use the tab keys to move to the check box and then use the space bar to toggle between selected and deselected.

In addition, buttons and fields have keyboard shortcuts that allow the user to go directly to a screen element. The underlined letter on the field or button label indicates the shortcut. Pressing the <Alt> key with that letter provides a way of accessing that button or field. For a button, using its shortcut is the same as clicking on that button. For example, <Alt F> is equivalent to clicking on the [Find] button. For a field, using its shortcut is the same as tabbing to the field — the focus is on that field, and the value in it is selected. For a check box field, the shortcut also toggles the check box on and off.

MARx meets the U.S. regulations (Section 508 of the Rehabilitation Act Amendments of 1998) requiring all U.S. Federal agencies to make their IT accessible to their employees and customers with disabilities. MARx meets the following criteria for a user employing assisting technologies, such as screen readers:

- Text equivalents are provided for non text elements such as graphics.
- All information conveyed with color is also available without color.
- MARx Web-based reporting tools and Hypertext Markup Language (HTML)-generated data support the use of row and column headings.
- HTML 4 tagging format is used.
- MARx is designed to allow users to skip repetitive navigation links. A link (that is only visible with a screen reader) is placed at the start of the page, which, when clicked, skips over the menu and submenu.







The other Section 508 requirements are not applicable to this application.



#### 4.1.5.8 Commonly Referenced Buttons and Links

Table 4.1-1 describes buttons and links used on several of the screens. Instead of describing each button and link every time it is referenced, the descriptions are provided below.

**Table 4.1-1. Common Buttons and Links**

Example	Description
[Print]	<b>Print.</b> Every screen contains a [Print] button. The [Print] button supports printing the entire contents of the active Web page. It displays the Printer Options pop-up screen.
[Help]	<b>Help.</b> Every screen contains a [Help] button, which invokes a menu of topics. At the top of the menu is a link to information that is specific to the current screen. Below that link are links for topics that are displayed for each screen. When a link is clicked, the help is displayed in a separate window using Adobe Acrobat Reader. The help comes directly from this <i>Guide</i> , providing the user an easy way to obtain online access to the <i>Guide</i> .
[Close]	<b>Close.</b> Closes the pop-up window without submitting the data. This button does not appear on any screens accessed directly from an item on the MARx main menu.
[Cancel]	<b>Cancel.</b> Closes the pop-up window without submitting the data.
	<p><b>Screen navigation arrows.</b> When all list items do not fit on a screen, navigation arrows are used to scroll through the list. These arrows are shown at the top and the bottom of the list items on the screen. The arrows function as follows:</p> <ul style="list-style-type: none"> <li>■  – go to the first page of items in the list</li> <li>■  – go to the previous page of items in the list</li> <li>■  – go to the next page of items in the list</li> <li>■  – go to the last page of items in the list</li> </ul>
	<b>Go to Page Number.</b> In addition to the screen navigation arrows, [Go to Page Number] is displayed at the top of the list items. It allows the user to go directly to a particular page. Select the page number to be displayed, and click on the [Go] button. The page numbers in the dropdown list reflect the actual number of pages in the list.
[Reset]	<b>Reset.</b> Resets the entered data to its previous values. If a button was clicked on the screen, the previous values are those displayed when the button was clicked. Otherwise, they are the initial values on the screen. It does not clear the screen, unless the screen was previously clear.

#### 4.1.5.9 Common Fields

Table 4.1-2 describes the formats of input fields that are used on many of the screens. The field labels vary among screens. For example, a contract field may be labeled as “Contract #” or “Contract,” or a date field may be labeled “Birth Date” or “Effective Date.”

**Table 4.1-2. Common Fields**

Field	Format
Claim #	<p>One of three formats is permitted. This field consists of a Claim Account Number (CAN) and a Beneficiary Identification Code (BIC). Depending on the screen and format, the BIC may or may not be optional:</p> <ul style="list-style-type: none"> <li>• Social Security Administration (SSA) – 9-digit SSN is the CAN followed by a 1- or 2-character BIC (where the first character is a letter and the second is a letter or number).</li> <li>• Railroad Retirement Board (RRB) – RRB identifier, with a 1- to 3-character BIC (which has one of these values: CA, A, JA, MA, PA, WA, WCA, WCD, PD, WD, H, MH, PH, WH, WCH) followed by a 6- or 9-digit number (CAN). The BIC is required.</li> <li>• CMS internal number – The internal format of an SSA claim number is the same as the SSA format. For an RRB claim number, the RRB format is translated to 9 characters (CAN) followed by a 2-digit BIC (which has one of these values: 10, 11, 13 through 17, 43, 45, 46, 80, 83 through 86).</li> </ul>
Contract #	<p>Starts with an 'H', 'R', '9', 'S', 'F', or 'E' and is followed by 4 characters:</p> <p><i>H – local MA, local MA-PD, or non-MA Plan</i>  <i>R – regional MA or MA-PD Plan</i>  <i>9 – non-MA Plan (no longer assigned)</i>  <i>S – PDP Plan</i>  <i>F – Fallback Plan</i>  <i>E – Employer Group Waiver Plans (EGWP) (beginning in 2007)</i></p>
PBP #	Three alphanumeric characters.
Segment #	Three digits. A value of 000 indicates that there is no segment.
Date	Month, day, and four-digit year. A zero in front of a single-digit month or day is optional: (M)M/(D)D/YYYY.
Month	Month and four-digit year. A zero in front of a single-digit month is optional: (M)M/YYYY.
Last Name	May contain letters (upper and lower case), apostrophe, hyphen, and blank. Length is up to 40 characters.

**4.1.5.10 Error Message Screens**

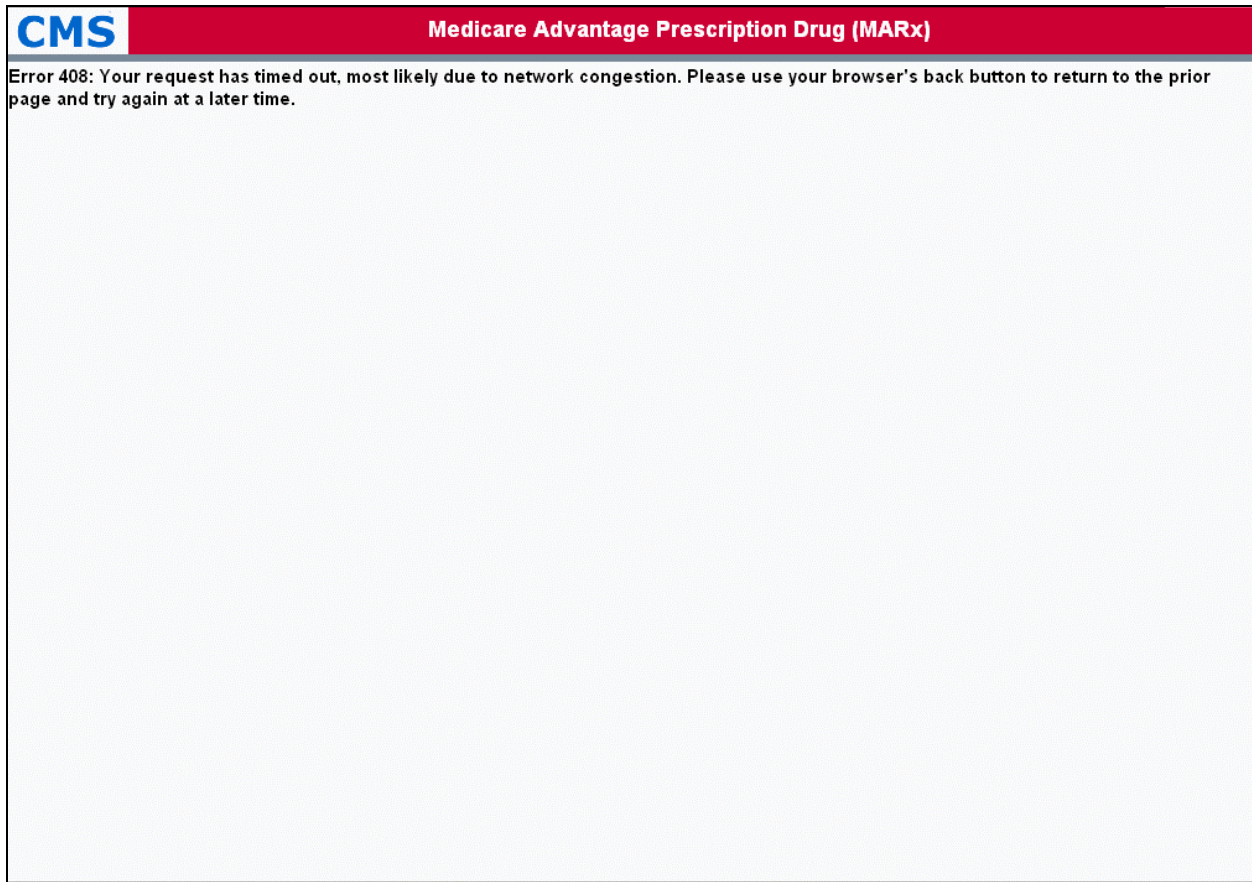
This section covers screens that report errors that could occur with any MARx UI screen. See *Appendix B, CMS Central Office Contact Information* for contact information to report the error.

If a MARx UI screen is unavailable for display, the Page Not Found screen (as shown in **Figure 4.1-7**) is displayed to notify the user of the problem.



***Figure 4.1-7. Page Not Found Screen***

If a time-out occurs when attempting to display a MARx UI screen, the Page Time-Out screen (as shown in **Figure 4.1-8**) is displayed to notify the user of the problem.



*Figure 4.1-8. Page Time-Out Screen*

#### 4.1.6 Navigating the System

##### 4.1.6.1 How Do I Get Where I Want To Go?

The functions available to users depend on the user's role. Only those functions available to the user's role will appear in the menu and submenus. The tasks within each function may also vary based on user's role. **Table 4.1-3** lists the names of the main menu items and provides a general description of the functions users will find under each item.

**Table 4.1-3. Main Menu Items**

Menu Item	Description
Welcome	Messages, calendar, etc.
Beneficiaries	Search for beneficiaries and view beneficiary information.
Payments	Retrieve payment and adjustment information for MCOs and beneficiaries.
Reports	Request historical reports.

#### 4.1.6.2 How Do I Find Specific Information?

MARx uses a type of drill-down system. What this means is the user starts at a very high level — an overview of the major subdivisions within MARx — and narrows down to more specific detailed information.

#### 4.1.6.3 Navigating Using the Menus and Submenus

The menus and submenus all work in the same way, as follows.

When a user first views the MARx main menu, shown in **Figure 4.1-9**, it appears with the |Welcome| menu item highlighted on the screen.



**Figure 4.1-9. MARx Main Menu with Welcome Selected**

When a user selects an item from the MARx main menu by clicking on the general area the user wants to view (e.g., the |Beneficiaries| menu item) the screen changes as displayed in **Figure 4.1-10**.

- The selected menu item (in this case, the |Beneficiaries| menu item) is highlighted in “yellow” on the screen.
- The associated submenu is displayed just below the MARx main menu, the first item in the submenu is selected and highlighted in “yellow” on the screen as well (by default), and the associated screen (in this case, the Beneficiaries: *MCO (M201)* screen is displayed in the form area.
- To view any of the other selections, click the menu or submenu item (for example the |Payment| menu item) to see the associated screen.

**Figure 4.1-10. Beneficiaries: Find (M201) Screen**

<b>Tip</b>
The first-level screen names are made up of the names of the “Menu: Submenu” and the selection that brought the user to that screen. This can help with navigating to a particular screen.

#### 4.1.6.4 Navigating Using the Screens

After the user gets to a screen, a search may be done to find information about a particular beneficiary or month. After narrowing the search to a more specific level, the user may be able to find even more detail by clicking on links and/or buttons on the screens that lead to additional screens.

#### 4.1.6.5 An Example

The following example is provided to demonstrate this drill-down navigation method used by MARx in its online processing. Note that the screens are used to help show the flow. Specific information about the contents of the screens is not provided here. However, this particular function is described in detail in *Section 4.3, Viewing Beneficiary Information*.

In this example, the user will see how to view the details of an adjustment for a selected beneficiary during a selected month.

Consider a scenario where the user wants to determine the reason a specific beneficiary has a particular adjustment. Starting at the top level (the MARx main menu) select the general area in which the user is interested. For this example, the user would look at the screens having to do with beneficiaries, so click on the |Beneficiaries| menu item, as in **Figure 4.1-9**. The *Beneficiaries: Find (M201)* screen is displayed, as in **Figure 4.1-10**. Because the user wants to find a specific beneficiary, the user would enter the selection data, as shown in **Figure 4.1-11**, and click on the [Find] button.

The screenshot shows the 'Beneficiaries: Find (M201)' screen. At the top, there is a red header with the CMS logo and the text 'Medicare Advantage Prescription Drug (MARx)'. Below this is a blue navigation bar with 'Welcome | Beneficiaries | Payments | Reports' and a 'Find' button. The main content area has a title 'Beneficiaries: Find (M201)' and user information: 'User: XXXX Role: MCO REPRESENTATIVE Date: 1/12/2006'. There are 'Print' and 'Help...' buttons. The search instructions are: 'Enter search criteria in any one or more of required fields and click "Find." At least one of Claim Number or Contract Number (plus an optional PBP #) is required. +Indicates at least one of these fields is required'. There are two input fields: '+Claim # (EIC is Optional)' and '+Contract # PBP #'. The 'Contract # PBP #' field contains the value 'H6666'. There are 'Find' and 'Reset' buttons at the bottom.

**Figure 4.1-11. Beneficiaries: Find (M201) Screen with Contract # Entered**

This displays the *Beneficiaries: Search Results (M202)* screen, as in **Figure 4.1-12**.

**CMS Medicare Advantage Prescription Drug (MARx)**  
 Welcome | **Beneficiaries** | Payments | Reports

Find

**Beneficiaries: Search Results (M202)** User: XXXX Role: MCO REPRESENTATIVE Date: 1/12/2006 Print Help...

Click on Claim # link to view Beneficiary Enrollment Details.  
 Search Criteria: Contract #= H6666

Beneficiaries 1-20(of 281) Go to Page: 1 Go ◀ ◀◀ ▶▶ ▶

Claim #	Name	Birth Date	Date of Death	Sex	State	County
<a href="#">999123456A</a>	MILLIE I. DUNKIRK	06/15/1912		F	MD	HOWARD
<a href="#">997246810B</a>	JOHN D. JONES	11/06/1922		M	MD	HOWARD
<a href="#">998101001B</a>	STEVEN K. MILLER	02/18/1916		M	TX	BEXAR
<a href="#">999112222A</a>	JASON J. CONNORS	07/14/1935		M	MD	HOWARD
<a href="#">998999999M</a>	MARSHA P. RIGHT	03/03/1933		F	MD	HOWARD
<a href="#">999010203A</a>	MATTHEW K. SPENCE JR	10/19/1945		M	MD	HOWARD
<a href="#">997234567B</a>	GLENN P. SMITH	06/03/1941		M	MD	MONTGOMERY
<a href="#">997543210A</a>	JAMES Q. SHORT	10/06/1920		U	MD	HOWARD
<a href="#">998115463A</a>	CHRIS C. PRINCE	10/14/1933		M	MD	HOWARD
<a href="#">999223333A</a>	LEO S. BELL	04/18/1937		M	NY	ROCKLAND
<a href="#">999876543A</a>	VERNA M. MILLER	04/06/1914		F	PA	BLAIR
<a href="#">997334444A</a>	MARY P. SHUTE	07/29/1915		F	PA	BLAIR
<a href="#">999040506B</a>	KATHERINE M. SPITZ	04/14/1917		F	PA	BLAIR
<a href="#">999466168M</a>	LISA R. LOTTA	02/12/1918		M	PA	BLAIR
<a href="#">997759782A</a>	KAREN C. LOTTA	01/22/1919		F	PA	BLAIR
<a href="#">998436753A</a>	MARY K. PALANCE	11/29/1918		F	MD	MONTGOMERY
<a href="#">999192837A</a>	CATHERINE H. SCHOLE	05/22/1936		F	NY	ROCKLAND
<a href="#">999888777D</a>	IRWIN J. GERALD	04/19/1936		M	MD	MONTGOMERY
<a href="#">999121314A</a>	TIMOTHY DRAYTON SR	04/18/1953		M	MD	HOWARD
<a href="#">999991111M</a>	WESTON CLAY	01/12/1925		M	MD	HOWARD

◀◀ ◀ ▶ ▶▶ ▶▶

**Figure 4.1-12. Beneficiaries: Search Results (M202) for the Contract # Specified**

From here, the user can view summary information about all of the beneficiaries returned from the search based on the input criteria, or the user can drill down deeper to find more detailed information about a specific beneficiary. In this example we are going to look at adjustment information for Verna M. Miller. The first step to viewing this information is to click on the linked Claim # associated with Verna M. Miller ([999876543A](#)). This displays the *Beneficiary Detail: Snapshot (M203)* screen, as shown in **Figure 4.1-13**. Notice that this is a secondary (pop-up) window and has a different header with Verna M. Miller's name, claim number, DOB, street address, age, sex, state, and county. Also note that because this is a pop-up window, there is a [Close] button in the upper right-hand corner of the body of the window.



<b>Claim #: 999876543A</b> 112 E WILLOW AVE ALTOONA, PA 16601 3944		<b>VERNA M. MILLER</b>		<b>DOB: 04/06/1914</b> Age: 91 Sex: FEMALE State: PA (39) County: BLAIR (120)	
Snapshot   Enrollment   Status   Payments   Adjustments   Premiums   Factors					
<b>Beneficiary Detail: Snapshot (M203)</b> User: XXXX Role: MCO REPRESENTATIVE Date: 10/15/2006 <span>Close</span> <span>Change...</span> <span>Print</span> <span>Help...</span>					
Change date to re-display Beneficiary Details and click "Find."					
As Of: 10/15/2006 <span>Find</span>					
Contract: H6666 MCO Name: TRI-STAR INSURANCE PBP Number: A01 Segment Number: 123 Special Needs Type: Bonus Payment Portion Percent: 0% Demographic Blend Portion Percent: 70% Residency Status: Out of Area			Contract: S1234 MCO Name: HOWARD HEALTH, INC. PBP Number: B01 Segment Number: 000 Special Needs Type: Bonus Payment Portion Percent: 0% Demographic Blend Portion Percent: 0% Residency Status: In Area		
Status Flags: <input type="checkbox"/> Hospice <input type="checkbox"/> ESRD <input type="checkbox"/> Working Aged <input type="checkbox"/> Inst <input type="checkbox"/> NHC <input type="checkbox"/> Medicaid					
Payment Flags: <input type="checkbox"/> Disabled <input type="checkbox"/> CHF <input type="checkbox"/> Part B Premium Reduction <input checked="" type="checkbox"/> Long Term Institutional					
Low Income Subsidy: Subsidy Start: 01/01/2006 Subsidy End: 12/31/2006 LI Premium Subsidy Level: 100.00% LI Co-payment Level: 1					
Original Reason for Entitlement: 1					
<b>Payments For Payment Date 10/2006</b>					
<b>Rate Used</b>		<b>Part A</b>	<b>Part B</b>	<b>Part D</b>	<b>Total</b>
	DEMOGRAPHIC	\$358.20	\$244.65	\$0.00	\$602.85
	RISK ADJUSTED	\$447.00	\$304.16	\$0.00	\$751.16
*	NET PAYMENTS	\$384.84	\$262.51	\$0.00	\$647.35
*	PART D DIRECT SUBSIDY	\$0.00	\$0.00	\$59.62	\$59.62
*	PART D REINSURANCE	\$0.00	\$0.00	\$26.97	\$26.97
*	PART D COST SHARING	\$0.00	\$0.00	\$104.78	\$104.78
*	PART D LIP	\$0.00	\$0.00	\$30.90	\$30.90
*	PART D BASIC PREMIUM	\$0.00	\$0.00	\$30.90	\$30.90
*	TOTAL PDP	\$0.00	\$0.00	\$222.27	\$222.27
<b>Adjustments Applied to 10/2006</b>					
<b>Rate Used</b>		<b>Part A</b>	<b>Part B</b>	<b>Part D</b>	<b>Total</b>
		\$0.00	\$0.00	\$0.00	\$0.00
<b>Entitlement Information</b>			<b>Enrollment Information</b>		
	<b>Eligible</b>	<b>Option</b>	<b>Contract</b>	<b>Start Date</b>	<b>End Date</b>
Part A:	07/01/1973	E	H6666	08/01/2006	
Part B:	07/01/1973	Y	S1234	08/01/2006	
Part D:	01/01/2006	N/A			
<b>Premiums</b>					
<b>Premium Withholding Option:</b>			DIRECT SELF-PAY		
<b>Part C Premium (from enrollment):</b>			\$32.15		
<b>Part D Premium (from enrollment):</b>			\$30.90		
<b>Low Income Subsidy:</b>			\$30.90		
<b>Late Enrollment Penalty:</b>			\$0.00		
<b>Late Enrollment Penalty Waived Amount:</b>			\$0.00		
<b>Late Enrollment Penalty Subsidy:</b>			\$0.00		
<b>Beneficiary's Total Part D Premium:</b>			\$0.00		
<b>Total C+D Premium (paid by beneficiary):</b>			\$32.15		

Figure 4.1-13. Beneficiary Detail: Snapshot (M203) for Selected Beneficiary

To view adjustment information specific to Verna M. Miller, select the |Adjustments| menu item, located just below the header. The screen is then displayed as in **Figure 4.1-14**.

The screenshot displays a web application interface for beneficiary adjustments. At the top, a dark blue header contains the following information: Claim #: 999876543A, VERNA M. MILLER, and DOB: 04/06/1914. Below this, the address 112 E WILLOW AVE, ALTOONA, PA 16601-3944 is listed. To the right, demographic information is shown: Age: 91, Sex: FEMALE, State: PA (39), and County: BLAIR (120). A navigation bar includes links for Snapshot, Enrollment, Status, Payments, Adjustments (which is highlighted), Premiums, and Factors. Below the navigation bar, the page title is 'Beneficiary Detail: Adjustments (M207)' followed by 'User: XXXX', 'Role: MCO REPRESENTATIVE', and 'Date: 11/15/2006'. There are buttons for 'Close', 'Print', and 'Help...'. The main content area contains a yellow highlighted instruction: 'Enter required field information below and click "Find."'. Below this, there is a legend: '\*Indicates required field' and '\*Payment Month'. A text input field contains '11/2006'. At the bottom of the form are 'Find' and 'Reset' buttons.

**Figure 4.1-14. Beneficiary Detail: Adjustments (M207) Screen for Selected Beneficiary**

Next, to get the adjustments for a particular payment date, enter the Payment Month (in this case 11/2006) and click on the [Find] button. This brings up adjustment information for that beneficiary for months up through the payment month, as shown in **Figure 4.1-15**.

**Claim #:999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 91 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | Payments | **Adjustments** | Premiums | Factors

**Beneficiary Detail:Adjustments (M207)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006

Enter required field information below and click "Find."

\*Indicates required field

\*Payment Month

**Adjustment 1-5(Of 5)** (Click on adjustment date to view details)

Adjustment Date	Contract	PBP	Segment	Description	Adjustment Code	Adjustments				Paid for Month
						Part A	Part B	Part D	Total	
<a href="#">11/2006</a>	H6666	A01	123	RETROACTIVE ENROLLMENT	02	\$28.92	\$13.18	\$0.00	\$42.10	10/2006
<a href="#">11/2006</a>	H6666	A01	123	RETROACTIVE ENROLLMENT	02	\$28.92	\$13.18	\$0.00	\$42.10	09/2006
<a href="#">11/2006</a>	H6666	A01	123	RETROACTIVE ENROLLMENT	02	\$28.92	\$13.18	\$0.00	\$42.10	08/2006
<a href="#">03/2006</a>	H9999	013	000	RETROACTIVE ENROLLMENT	02	\$369.84	\$252.51	\$0.00	\$622.35	02/2006
<a href="#">03/2006</a>	H9999	013	000	RETROACTIVE ENROLLMENT	02	\$369.84	\$252.51	\$0.00	\$622.35	01/2006

**Figure 4.1-15. Beneficiary Detail: Adjustments (M207) Screen for Selected Beneficiary Expanded for Specified Payment Month**

Finally, the user can select a particular adjustment by clicking on the month/year link in the Adjustment Date column ([03/2006](#), in this case) to display **Figure 4.1-16**.

At this point the user has reached a display-only screen. There are no other links or ways to drill down, but the user now has access to all information regarding Verna M. Miller's adjustment information.

Again, the drill-down method enables the user to navigate from very general information to very specific information just by following a path of menu and submenu items, links, and searches. For more information and for a complete description of the MARx navigational hierarchy, refer to *Appendix F, Screen Hierarchy*.

Claim #:999876543A 112 E WILLOW AVE ALTOONA, PA 16601.3944		VERNA M. MILLER		DOB: 04/06/1914 Age: 91 Sex: FEMALE State: PA (39) County: BLAIR (120)				
<b>Payment/Adjustment Detail (M215)</b>			User: XXXX	Role: MCO REPRESENTATIVE	Date: 4/12/2006	<input type="button" value="Close"/>	<input type="button" value="Print"/>	<input type="button" value="Help..."/>
<b>Payments/Adjustment Table - Contract# H9999</b>								
Payment Date	Type	Description	Adjustment Code	Payment/Adjustments				Paid for Month
				Part A	Part B	Part D	Total	
03/2006	PAYMENT COMPONENT	DEMOGRAPHIC	-	\$326.36	\$323.17	-	\$649.53	03/2006
03/2006	PAYMENT COMPONENT	RISK ADJUSTED	-	\$180.21	\$159.62	-	\$339.83	03/2006
03/2006	PAYMENT	BLEND	-	\$216.75	\$200.51	-	\$417.26	03/2006
03/2006	PAYMENT	BASIC PART C PREMIUM	-	\$44.00	\$36.00	-	\$80.00	03/2006
03/2006	PAYMENT COMPONENT	BASIC PART D PREMIUM	-	-	-	\$30.00	\$30.00	03/2006
03/2006	PAYMENT	REBATE FOR PART B PREMIUM REDUCTION	-	\$0.00	\$0.00	-	\$0.00	03/2006
03/2006	PAYMENT	REBATE FOR A/B COST SHARING	-	\$0.00	\$0.00	-	\$0.00	03/2006
03/2006	PAYMENT	REBATE FOR A/B MANDATORY SUPPLEMENTAL BENEFITS	-	\$0.00	\$0.00	-	\$0.00	03/2006
03/2006	PAYMENT	REBATE FOR PART D BASIC PREMIUM REDUCTION	-	\$0.00	\$0.00	-	\$0.00	03/2006
03/2006	PAYMENT	REBATE FOR PART D SUPPLEMENTAL BENEFITS	-	\$0.00	\$0.00	-	\$0.00	03/2006
03/2006	PAYMENT	PART D DIRECT SUBSIDY	-	-	-	\$6.14	\$6.14	03/2006
03/2006	PAYMENT	LIS COST SHARING	-	-	-	\$12.00	\$12.00	03/2006
03/2006	PAYMENT	REINSURANCE AMOUNT	-	-	-	\$3.00	\$3.00	03/2006
03/2006	PAYMENT COMPONENT	TOTAL PART D PAYMENTS	-	-	-	-	\$21.14	03/2006
03/2006	PAYMENT	BSF MONTHLY	-	\$6.05	\$3.95	-	\$11.00	03/2006
03/2006	PAYMENT	BONUS PAYMENTS	-	-	-	-	\$31.14	03/2006
03/2006	PAYMENT	PACE PREMIUM ADD-ON	-	-	-	\$40.98	\$40.98	03/2006
03/2006	PAYMENT	PACE COST SHARING ADD-ON	-	-	-	\$51.32	\$51.32	03/2006
03/2006	ADJUSTMENT COMPONENT	DEMOGRAPHIC	-	\$326.36	\$323.17	-	\$649.53	02/2006
03/2006	ADJUSTMENT COMPONENT	RISK ADJUSTED	-	\$180.21	\$159.62	-	\$339.83	02/2006
03/2006	ADJUSTMENT	RETROACTIVE ENROLLMENT	02	\$216.75	\$200.51	-	\$417.26	02/2006
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO BASIC PART D PREMIUM	30	-	-	\$30.00	\$30.00	02/2006
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO LIS COST SHARING	32	-	-	\$12.00	\$12.00	02/2006
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO REINSURANCE AMOUNT	33	-	-	\$3.00	\$3.00	02/2006
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO BASIC PART C PREMIUM	34	\$44.00	\$36.00	-	\$80.00	02/2006
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO REBATE AMOUNT	35	\$0.00	\$0.00	-	\$0.00	02/2006

Figure 4.1-16. Payment/Adjustment Detail (M215) Screen for the Selected Adjustment

## **4.2 Logging On and Viewing Messages**

To access MARx online, the user must first logon. After the user is logged on, the user is presented with a screen from which messages and the calendar can be viewed.

### **4.2.1 Logging on to MARx**

The user must logon to MARx before accessing any of its functions. When logging on, the user selects one of the roles available to the user. The role dictates the functions the user may perform. After logging on, the *Welcome (M101)* screen appears, from which the user can navigate to the other MARx screens.

#### **STEP 1: Getting to the logon screen**

Go to MARx via the Internet: <https://applications.cms.hhs.gov>.

If MARx is down when a user tries to logon, the browser will display a message stating that the “page is unavailable” or “page cannot be found”. The content of this message is dependent on the user’s browser, not on MARx.

#### **STEP 2: Logging on**

Refer to *Section 1.6.2, CMS Application Portal Access*.

**Figure 4.2-1. User Security Role Selection (M002) Screen**

**Table 4.2-1. M002 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Role selection	Required radio button	The user must click on a button to select the appropriate role.
[Logon with Selected Role]	Button	Click on this button to complete the logon with the selected role.

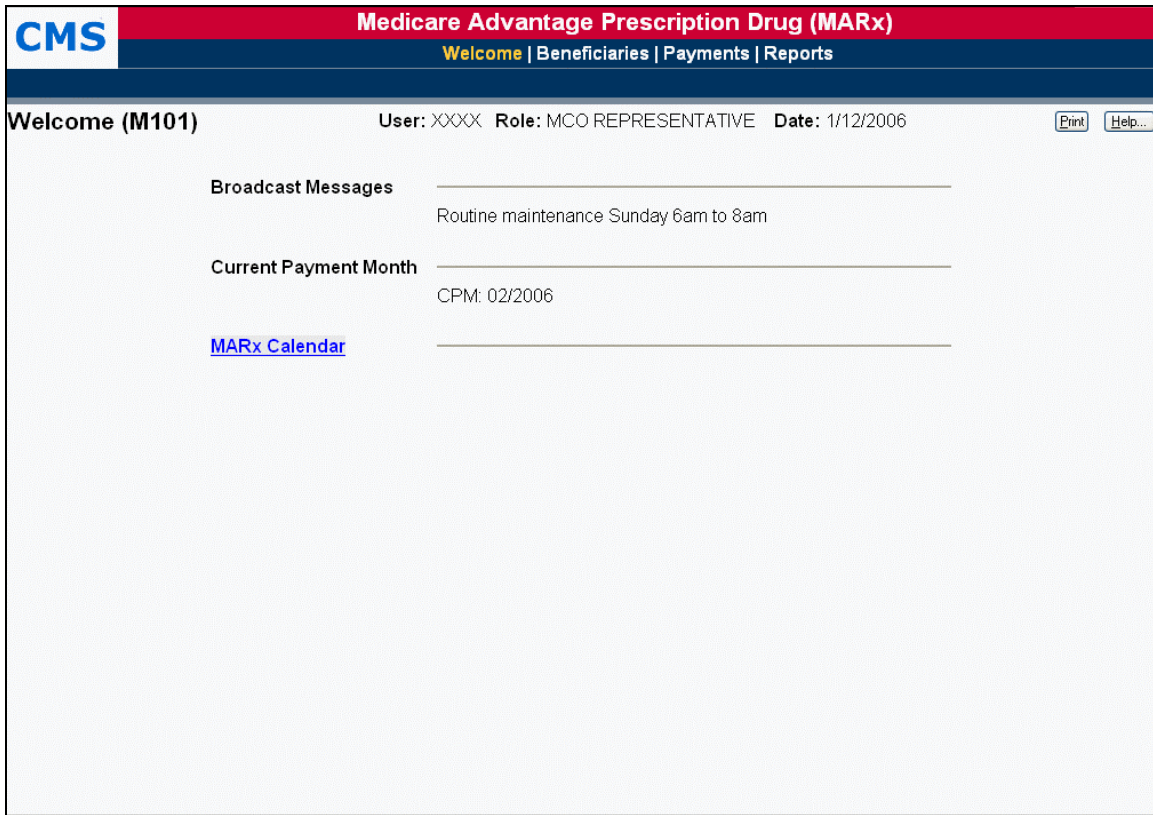
**Table 4.2-2. M002 Screen Messages**

Message Type	Message Text	Suggested Action
Workstation set-up	Click on the message 'Pop-up blocked. To see this pop-up or additional options click here...', then click 'Always Allow Pop-ups from This Site...'	Follow the directions given in the message to enable pop-ups from MARx. When a message is displayed asking to allow pop-ups from the site, click [Yes]. Next, a message is displayed asking to close the window, click [No]. The <i>Welcome (M101)</i> screen is then displayed.

<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
Missing data	No contracts are defined for this role	Your user profile must be updated. See Appendix B for contact information to report the error.
Software or Database Error	No security roles are defined for your user ID	See Appendix B for contact information to report the error.
Software or Database Error	Error retrieving your security roles from the database	See Appendix B for contact information to report the error.
Software or Database Error	Your user ID does not exist in MARx	See Appendix B for contact information to report the error.
Software or Database Error	Your user ID was not supplied	See Appendix B for contact information to report the error.
Software or Database Error	Your user ID profile in MARx is inactive	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database while retrieving your security roles	See Appendix B for contact information to report the error.
Software or Database Error	Error retrieving the expected number of security setting results. Retrieved <# of results sets retrieved> out of <# of results sets expected>	See Appendix B for contact information to report the error.
Software or Database Error	No screen items defined for this role	See Appendix B for contact information to report the error.
Software or Database Error	Error retrieving your security settings	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database while retrieving your security settings	See Appendix B for contact information to report the error.
Software or Database Error	Error retrieving the expected number of dropdown list results. Retrieved <# of results sets retrieved> out of <# of results sets expected>	See Appendix B for contact information to report the error.
Software or Database Error	The dropdown lists results set is empty	See Appendix B for contact information to report the error.
Software or Database Error	Error retrieving dropdown lists from the database	See Appendix B for contact information to report the error.
Software or Database Error	No current payment month has been set	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database while retrieving the dropdown lists	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

The user's default role is selected on the screen. If the user has more than one role available , the user may change from the default to another role. The selected role will be shown on the title line of subsequent screens. Once a role is selected, click on the [Logon with Selected Role] button.

After the user selects a role, the user will be brought to the *Welcome (M101)* screen, as shown in **Figure 4.2-2** and described in **Table 4.2-3**, with error and validation messages provided in **Table 4.2-4**.



**Figure 4.2-2. Welcome (M101) Screen**

**Table 4.2-3. M101 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Broadcast Messages	Output	Provides general information about what is happening in MARx (such as month-end processing has started). The list of messages will be refreshed every time the user returns to the screen.
Current Payment Month	Output	The month/year currently being processed by MARx. The calculated payments are for services that will be rendered by Plan's during this month. Payments calculated by MARx will be deposited directly into the Plan's bank accounts by close of business (COB) on the first day of this month.
MARx <a href="#">Calendar</a>	Link	Displays the <i>MARx Calendar (M105)</i> screen.



**Table 4.2-4. M101 Screen Messages**

Message Type	Message Text	Suggested Action
Software or Database Error	The result set that contains the system message is empty!	See Appendix B for contact information to report the error.
Software or Database Error	Database errors occur in retrieving the system messages!	See Appendix B for contact information to report the error.
Software or Database Error	Invalid input.	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

See the following sections for information provided on the *Welcome (M101)* screen:

- Broadcast messages – see *Section 4.2.2, Viewing System Broadcast Messages*
- Calendar – see *Section 4.2.3, Viewing the MARx Calendar*

#### **4.2.2 Viewing System Broadcast Messages**

Broadcast messages are displayed for all MARx users. They provide information about systemwide events, such as the start or completion of month-end processing. These messages expire without any user action.

##### **STEP 1: Getting to the *Welcome (M101)* screen**

From the MARx main menu, click on the |Welcome| menu item. This displays the *Welcome (M101)* screen.

##### **STEP 2: Viewing the Broadcast Messages**

The broadcast messages are shown on the *Welcome (M101)* screen under the Broadcast Messages heading. The list of messages will be refreshed each time the user returns to the screen.

#### **4.2.3 Viewing the MARx Calendar**

From the calendar, a list of MARx operational events scheduled for any month is provided.

##### **STEP 1: Getting to the *MARx Calendar (M105)* screen**

From the MARx main menu, click on the |Welcome| menu item. This automatically selects the *Welcome (M101)* screen. Click on the [MARx Calendar](#) link to display the *MARx Calendar (M105)* screen, as shown in **Figure 4.2-3** and described in **Table 4.2-5**, with error and validation messages provided in **Table 4.2-6**.

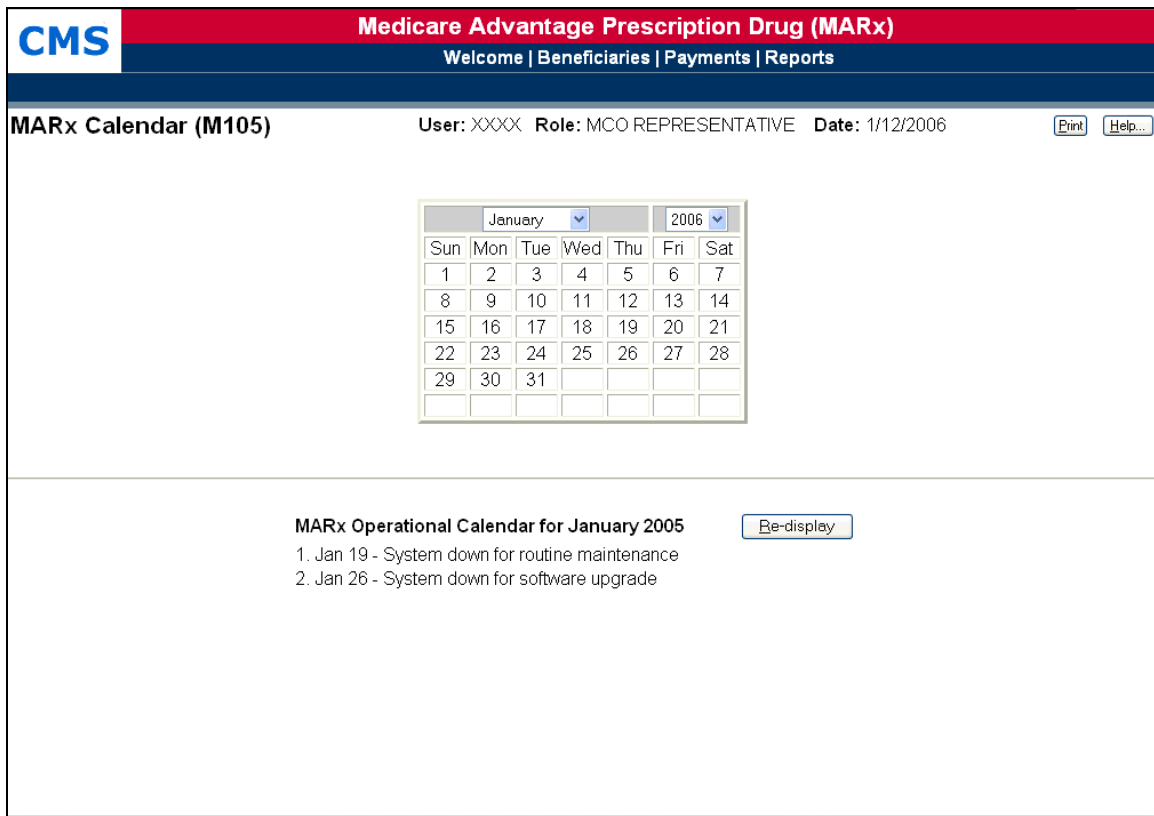


Figure 4.2-3. MARx Calendar (M105) Screen

Table 4.2-5. M105 Screen Inputs, Outputs, and Actions

Item	Type	Description
<b>Above Line</b>		
Month	Required dropdown list	Defaults to current calendar month. When this is changed, the pictorial calendar is automatically updated to the selected month and year.
Year	Required dropdown list	Defaults to current calendar year. When this is changed, the pictorial calendar is automatically updated to the selected month and year.
Calendar	Output	Pictorial calendar for selected month and year. If it is the current month, the current day is highlighted in blue.
<b>Below Line</b>		
MARx Operational Calendar	Output	List of events scheduled for the selected month and year.
[Re-display]	Button	After changing the month or year, click on this button to display the operational calendar for the newly selected month.

**Table 4.2-6. M105 Screen Messages**

Message Type	Message Text	Suggested Action
No data	No schedule events found for <month/year>	Pick a different month.
Software or Database Error	Error occurred retrieving schedule results for <month/year>	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving schedule events for <month/year>	See Appendix B for contact information to report the error.
Software or Database Error	Invalid input	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

**STEP 2: Viewing the calendar events**

The top part of the screen shows a pictorial calendar for 1 month. When the screen is first displayed, the current month is shown with the current day highlighted in “blue”.

The bottom part of the screen (the operational calendar) shows the calendar events that are scheduled for that month, with the date and description of each event.

**STEP 3: Changing the month**

To view a different month, select a different month and/or year in the pictorial calendar. The calendar for the new month is then displayed.

To view the operational calendar for the newly selected month, click on the [Re-display] button in the bottom part of the screen.

**4.2.4 Logging Out of MARx**

The user should log out of the system once MARx activities are completed. If the user does not explicitly logout, the session will eventually time out. It is recommended that the user log out of the system immediately after completing activities for security reasons.

If the user closes the browser windows, the user will be logged out automatically. To simplify logging out, the logout screen may be used to close all of the windows in one step.

When the user logs on to MARx, the logon screen is replaced with a logout screen as shown in **Figure 4.2-4** and described in **Table 4.2-7**, with error and validation messages provided in **Table 4.2-8**. This logout screen is behind the MARx primary window and can be used at any time by selecting the window.

Click on the [Logout] button. The browser will then ask the user to close the window.



Figure 4.2-4. MARx Logout Screen

Table 4.2-7. Logout Screen Inputs, Outputs, and Actions

Item	Type	Description
[Logout]	Button	Click on this button to logout of MARx, closing all windows.

Table 4.2-8. Logout Screen Messages

Message Type	Message Text	Suggested Action
Process		Click on the [Yes] button to close the window. Click on the [No] button to keep the window open.

## 4.3 Viewing Beneficiary Information

The user can search for a particular beneficiary by specifying one or more selection criteria. After finding the beneficiary of interest, the user can view detailed information. This section describes the following steps for viewing beneficiary information:

- STEP 1: Getting to the *Beneficiaries: Find (M201)* screen
- STEP 2: Using the *Beneficiaries: Find (M201)* screen
- STEP 3: Using the *Beneficiaries: Search Results (M202)* screen
- STEP 4: Viewing detailed information for a beneficiary
  - STEP 4a: Viewing the *Beneficiary Detail: Snapshot (M203)* screen
  - STEP 4b: Viewing the *Beneficiary Detail: Enrollment (M204)* screen
  - STEP 4c: Viewing the *Beneficiary Detail: Status (M205)* screen
  - STEP 4d: Viewing the *Beneficiary Detail: Payments (M206)* screen
  - STEP 4e: Viewing the *Beneficiary Detail: Adjustments (M207)* screen
  - STEP 4f: Viewing the *Beneficiary Detail: Premiums (M231)* screen
  - STEP 4g: Viewing the *Beneficiary Detail: Factors (M220)* screen
- STEP 5: Viewing the *Payment/Adjustment Detail (M215)* screen
- STEP 6: Viewing the *Enrollment Detail (M222)* screen

### 4.3.1 Finding a Beneficiary

To find information about a beneficiary who is enrolled in one of the Plan's contracts (either currently, in the past, or the future), use the *Beneficiaries: Find (M201)* screen to search for the beneficiary. Once the beneficiary is found, the user may view information on that beneficiary.

#### STEP 1: Getting to the *Beneficiaries: Find (M201)* screen

From the MARx main menu, click on the |Beneficiaries| menu item. The |Find| submenu item is already selected and displays the *Beneficiaries: Find (M201)* screen as shown in **Figure 4.3-1** and described in **Table 4.3-1**, with error and validation messages provided in **Table 4.3-2**.

**STEP 2: Using the *Beneficiaries: Find (M201)* screen**

The screenshot displays the 'Beneficiaries: Find (M201)' interface. At the top, the CMS logo is on the left, and the title 'Medicare Advantage Prescription Drug (MARx)' is in the center. Below this, a navigation bar includes 'Welcome | Beneficiaries | Payments | Reports'. The main header area shows 'Beneficiaries: Find (M201)' on the left, and 'User: XXXX Role: MCO REPRESENTATIVE Date: 1/12/2006' on the right, with 'Print' and 'Help...' buttons. The central content area contains search instructions: 'Enter search criteria in any one or more of required fields and click "Find."' and 'At least one of Claim Number or Contract Number (plus an optional PBP #) is required.' Below these are three input fields: '+Claim # (BIC is Optional)', '+Contract # PBP #' (with two sub-fields), and '+Indicates at least one of these fields is required'. At the bottom of the search section are 'Find' and 'Reset' buttons.

**Figure 4.3-1. Beneficiaries: Find (M201) Screen**

**Table 4.3-1. M201 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Claim #	Required data entry field	If entered, finds beneficiaries who currently have this claim number. <b>NOTE:</b> The BIC is optional except when an RRB number is entered. <b>NOTE:</b> At least one of Claim # or Contract # is required.
Contract #	Required data entry field	If entered, finds beneficiaries enrolled in this contract in a past, current, or future enrollment. <b>NOTE:</b> At least one of Claim # or Contract # is required.
PBP #	Data entry field	If entered, finds beneficiaries currently enrolled in this PBP. The PBP is applicable only when a contract number is entered.
[Find]	Button	After search criteria have been entered, click on this button to initiate the search for beneficiaries.

**Table 4.3-2. M201 Screen Messages**

Message Type	Message Text	Suggested Action
Missing entry	Please enter one of the required fields	Make sure to enter at least one of the following fields: Claim # or Contract #.
Invalid format	The claim number is not a valid SSA, RRB, or CMS internal number.	Re-enter the claim number.
Invalid format	A contract number must start with an 'H', '9', 'R', 'S', or 'F' and be followed by four characters	Re-enter the contract number.
Invalid format	PBP number must be three alpha-numeric characters	Re-enter the PBP.
Invalid entry	When a PBP is entered, a contract must be entered also	Make sure to enter a contract number if entering a PBP.
Invalid entry	Invalid contract/PBP combination	Make sure the PBP is in the contract.
Invalid entry	You do not have access rights to this Contract.	First, make sure the contract number is entered correctly. If entered correctly and the user should have rights to this contract, see the Central Office (CO) Computer Specialist who can update the user's profile to provide these rights.
No data	No beneficiary records found for the search criteria	<ol style="list-style-type: none"> <li>1. Check to make sure the information was accurately entered.</li> <li>2. Perform a more general search — the user constraints may be too restricting.</li> </ol>
Software or Database Error	Error occurred retrieving beneficiary search results from the MBD.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving beneficiary records from the MBD.	See Appendix B for contact information to report the error.
Software or Database Error	Invalid screen ID	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred validating contract/PBP combination	See Appendix B for contact information to report the error.
Software or Database Error	Missing input	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

### 4.3.2 Viewing Summary Information about a Beneficiary

The beneficiaries who meet the user's search criteria are displayed on the *Beneficiaries: Search Results (M202)* screen.

#### STEP 3: Using the *Beneficiaries: Search Results (M202)* screen

If the search is successful, the *Beneficiaries: Search Results (M202)* screen is displayed, as shown in **Figure 4.3-2** and described by **Table 4.3-3**. Because any error associated with the search would be displayed on the *Beneficiaries: Find (M201)* screen, there are no error messages or validation messages associated with this screen.

**CMS Medicare Advantage Prescription Drug (MARx)**  
 Welcome | **Beneficiaries** | Payments | Reports  
 Find

**Beneficiaries: Search Results (M202)**    User: XXXX    Role: MCO REPRESENTATIVE    Date: 1/12/2006    [Print]    [Help...]

Click on Claim # link to view Beneficiary Enrollment Details.  
 Search Criteria: Contract #= H6666

Beneficiaries 1-20(of 281)    Go to Page: 1 [Go]    << << >> >>

Claim #	Name	Birth Date	Date of Death	Sex	State	County
<a href="#">999123456A</a>	MILLIE I. DUNKIRK	06/15/1912		F	MD	HOWARD
<a href="#">997246810B</a>	JOHN D. JONES	11/06/1922		M	MD	HOWARD
<a href="#">998101001E</a>	STEVEN K. MILLER	02/18/1916		M	TX	BEXAR
<a href="#">999112222A</a>	JASON J. CONNORS	07/14/1935		M	MD	HOWARD
<a href="#">998999999M</a>	MARSHA P. RIGHT	03/03/1933		F	MD	HOWARD
<a href="#">999010203A</a>	MATTHEW K. SPENCE JR	10/19/1945		M	MD	HOWARD
<a href="#">997234567B</a>	GLENN P. SMITH	06/03/1941		M	MD	MONTGOMERY
<a href="#">997543210A</a>	JAMES Q. SHORT	10/06/1920		U	MD	HOWARD
<a href="#">998115463A</a>	CHRIS C. PRINCE	10/14/1933		M	MD	HOWARD
<a href="#">999223333A</a>	LEO S. BELL	04/18/1937		M	NY	ROCKLAND
<a href="#">999876543A</a>	VERNA M. MILLER	04/06/1914		F	PA	BLAIR
<a href="#">997334444A</a>	MARY P. SHUTE	07/29/1915		F	PA	BLAIR
<a href="#">999040506B</a>	KATHERINE M. SPITZ	04/14/1917		F	PA	BLAIR
<a href="#">999466168M</a>	LISA R. LOTTA	02/12/1918		M	PA	BLAIR
<a href="#">997759782A</a>	KAREN C. LOTTA	01/22/1919		F	PA	BLAIR
<a href="#">998436753A</a>	MARY K. PALANCE	11/29/1918		F	MD	MONTGOMERY
<a href="#">999192837A</a>	CATHERINE H. SCHOLE	05/22/1936		F	NY	ROCKLAND
<a href="#">999888777D</a>	IRWIN J. GERALD	04/19/1936		M	MD	MONTGOMERY
<a href="#">999121314A</a>	TIMOTHY DRAYTON SR	04/18/1953		M	MD	HOWARD
<a href="#">999991111M</a>	WESTON CLAY	01/12/1925		M	MD	HOWARD

<< << >> >>

**Figure 4.3-2. Beneficiaries: Search Results (M202) Screen**



**Table 4.3-3. M202 Screen Inputs, Outputs, and Actions**

Item	Type	Description
<a href="#">Claim #</a> column heading	Sorter	Sorts the results by claim numbers.
<a href="#">Claim #</a> in the Claim # column	Link	Click on a <a href="#">Claim #</a> link to display the <i>Beneficiary Detail: Snapshot (M203)</i> screen.
<a href="#">Name</a> column heading	Sorter	Sorts the results by beneficiary name.
Birth Date column	Output	DOB of each beneficiary.
Date of Death column	Output	DOD (as applicable) of each beneficiary.
Sex column	Output	Sex of each beneficiary.
State column	Output	State of residence of each beneficiary.
County column	Output	County of residence of each beneficiary.

<b>Tip</b>
Search results may be narrowed by returning to the previous screen and adding additional selection criteria.

From this screen, summary information can be obtained about each beneficiary that meets the search criteria. The list can be sorted by claim number or by name by clicking on the [Claim #](#) column heading or the [Name](#) column heading, respectively. To see more details about any particular beneficiary in this list, click on a [Claim #](#) link in the Claim # column. This displays the *Beneficiary Detail: Snapshot (M203)* screen in a pop-up window with a menu to get to various screens — each of which provides specific details about the beneficiary's enrollment or payment history. These screens will be described in more detail later in this section.

### 4.3.3 Viewing Detailed Information for a Beneficiary

Find the beneficiary on the *Beneficiaries: Search Results (M202)* screen and drill down for more information.

#### STEP 4: Viewing detailed information for a beneficiary

To see detailed information about any of the beneficiaries listed in the *Beneficiaries: Search Results (M202)* screen, click on the associated [Claim #](#).

<b>Note</b>
Instead of seeing a screen in the same area as previously displayed, the user will see a new window appears with a new screen and a new header. This is a pop-up window, and it will have its own header information specific to the selected beneficiary. A beneficiary may have multiple addresses at one time, but only one address is displayed. The address chosen for display is the highest one available, in this order of importance: temporary, residential, and mailing. The header, by itself, is shown in <b>Figure 4.3-3</b> .

<b>Claim #:999876543</b> 112 E WILLOW AVE ALTOONA, PA 16601-3944	<b>VERNA M. MILLER</b>	<b>DOB: 04/06/1914</b> Age: 89 Sex: FEMALE State: PA (39) County: BLAIR (120)
--	------------------------	---

**Figure 4.3-3. Sample Header for the Beneficiary Detail Screens**

In addition, just below the header is a set of menu items, described in **Table 4.3-4**. The user can switch back and forth among the seven different screens by clicking the menu items. Each screen pertains to the beneficiary selected from the *Beneficiaries: Search Results (M202)* screen. See **Figure 4.3-4** for an example of the menu items.

**Table 4.3-4. Menu Items for Viewing Beneficiary Detail Information**

Menu Item	Screen Name	Description
Snapshot	<i>Beneficiary Detail: Snapshot (M203)</i>	Displays an overall summary of payment information for the beneficiary as of the date the user specified. When the screen is first displayed, the date defaults to the current date.
Enrollment	<i>Beneficiary Detail: Enrollment (M204)</i>	Displays a summary list of enrollment information, by contract, for the enrollments to which the Plan has access. It also provides links to drill down to more detailed payment, adjustment, and enrollment information for the beneficiary on a selected contract.
Status	<i>Beneficiary Detail: Status (M205)</i>	Displays a summary list of enrollment and health status, by contract, for the enrollments to which the Plan has access. It also provides links to drill down to more detailed payment and adjustment information for the beneficiary on a selected contract.
Payments	<i>Beneficiary Detail: Payments (M206)</i>	Displays a list (ordered by month as of the specified payment date) of payment and adjustment information, broken down by Parts A, B, and D. The payment date defaults to the current month. It also provides links to drill down to more detailed payment and adjustment information for the beneficiary on a selected contract.
Adjustments	<i>Beneficiary Detail: Adjustments (M207)</i>	Displays a list (ordered by adjustment month as of the specified payment month) of adjustment information, broken down by Parts A, B, and D, for months up through a specified date. The payment month defaults to the current month. It also provides links to drill down to more detailed payment and adjustment information for the beneficiary on a selected contract.
Premiums	<i>Beneficiary Detail: Premiums (M231)</i>	Displays a list of premium information for the specified month. The payment month defaults to the current month.
Factors	<i>Beneficiary Detail: Factors (M220)</i>	Displays the factors (beneficiary-specific or default) used in payment calculation.

To view information for other beneficiaries, the user can either select another beneficiary from the *Beneficiaries: Search Results (M202)* screen or perform a new search on the *Beneficiaries: Find (M201)* screen.

#### **4.3.3.1 Viewing a Snapshot of Beneficiary Information**

A snapshot shows a summary of membership, health status, and payment/adjustment information for the beneficiary as of a specified month

**STEP 4a: Viewing the *Beneficiary Detail: Snapshot (M203)* screen**

The *Beneficiary Detail: Snapshot (M203)* screen, as shown in **Figure 4.3-4** and described in **Table 4.3-5**, with error and validation messages provided in **Table 4.3-6**, provides payment, status, adjustment, entitlement, enrollment, and premium information for the beneficiary as of the date specified. When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), information on both contracts is displayed. On the initial display, the current date is used. To view the details as of a different date, update the date in the *As Of* data entry area and click on the [Find] button. If the beneficiary is enrolled with an effective date in the future, no status information will be available. Change the *As Of* date to the future date to view the snapshot information.

**Claim #: 999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 91 Sex: FEMALE  
State: PA (99) County: BLAIR (120)

Snapshot | Enrollment | Status | Payments | Adjustments | Premiums | Factors
User: XXXX Role: MCO REPRESENTATIVE Date: 10/15/2006
Close Change... Print Help...

Change date to re-display Beneficiary Details and click "Find."

As Of:

Contract: H6666  
MCO Name: TRI-STAR INSURANCE  
PBP Number: A01  
Segment Number: 123  
Special Needs Type:  
Bonus Payment Portion Percent: 0%  
Demographic Blend Portion Percent: 70%  
Residency Status: Out of Area

Contract: S1234  
MCO Name: HOWARD HEALTH, INC.  
PBP Number: B01  
Segment Number: 000  
Special Needs Type:  
Bonus Payment Portion Percent: 0%  
Demographic Blend Portion Percent: 0%  
Residency Status: In Area

Status Flags:  Hospice  ESRD  Working Aged  Inst  NHC  Medicaid

Payment Flags:  Disabled  CHF  Part B Premium Reduction  Long Term Institutional

Low Income Subsidy: Subsidy Start: 01/01/2006 Subsidy End: 12/31/2006 LI Premium Subsidy Level: 100.00%  
LI Co-payment Level: 1

Original Reason for Entitlement: 1

Payments For Payment Date 10/2006

Rate Used	Part A	Part B	Part D	Total
DEMOGRAPHIC	\$368.20	\$244.65	\$0.00	\$602.85
RISK ADJUSTED	\$447.00	\$304.16	\$0.00	\$751.16
* NET PAYMENTS	\$384.84	\$262.51	\$0.00	\$647.35
* PART D DIRECT SUBSIDY	\$0.00	\$0.00	\$59.62	\$59.62
* PART D REINSURANCE	\$0.00	\$0.00	\$26.97	\$26.97
* PART D COST SHARING	\$0.00	\$0.00	\$104.78	\$104.78
* PART D LIP	\$0.00	\$0.00	\$30.90	\$30.90
PART D BASIC PREMIUM	\$0.00	\$0.00	\$30.90	\$30.90
* TOTAL PDP	\$0.00	\$0.00	\$222.27	\$222.27

---

Adjustments Applied to 10/2006

Rate Used	Part A	Part B	Part D	Total
	\$0.00	\$0.00	\$0.00	\$0.00

---

Entitlement Information

Part	Eligible	Option
Part A:	07/01/1973	E
Part B:	07/01/1973	Y
Part D:	01/01/2006	N/A

Enrollment Information

Contract	Start Date	End Date
H6666	08/01/2006	
S1234	08/01/2006	

---

Premiums

Premium Withholding Option:	DIRECT SELF-PAY
Part C Premium (from enrollment):	\$32.15
Part D Premium (from enrollment):	\$30.90
Low Income Subsidy:	\$30.90
Late Enrollment Penalty:	\$0.00
Late Enrollment Penalty Waived Amount:	\$0.00
Late Enrollment Penalty Subsidy:	\$0.00
Beneficiary's Total Part D Premium:	\$0.00
<b>Total C+D Premium (paid by beneficiary):</b>	<b>\$32.15</b>

Figure 4.3-4. Beneficiary Detail: Snapshot (M203) Screen

**Table 4.3-5. M203 Screen Inputs, Outputs, and Actions**

Item	Type	Description
As Of	Required data entry field	Enter a valid date in the form (D)D/(M)M/YYYY. The As Of date may be changed. After changing the date, click on the [Find] button to bring up the information for that date.
[Find]	Button	Displays the information for the specified As Of date.
<b>The following fields are repeated for each contract (up to 2) in which the beneficiary is enrolled</b>		
Contract	Output	Contract number for this beneficiary on the As Of date.
MCO Name	Output	Contract name for this beneficiary on the As Of date.
Contact	Output	The contact information for this beneficiary on the As Of date.
PBP Number	Output	The PBP number on the contract for this beneficiary on the As Of date.
Segment Number	Output	The segment number on the contract and PBP for this beneficiary on the As Of date.
Special Needs Type	Output	Indicates the special needs population that the contract serves, if applicable.
Bonus Payment Portion Percent	Output	The percentage applied to the payment to determine the bonus amount to be paid to the Plan. This is not applicable to a Prescription Drug Plan (PDP).
Demographic Blend Portion Percent	Output	When the blended payment is calculated, this percentage of the demographic rate is used. The remaining percentage of the blended payment is based on the risk-adjustment amount. This is not applicable to a PDP.
Residency Status	Output	The residency status for this beneficiary on the As Of date.
Status Flags	Output	The flags set for the beneficiary on the As Of date.
Payment Flags	Output	The flags set for the beneficiary on the As Of date.
Low Income Subsidy	Output	Date range and amount of the low income subsidy on the As Of date.
Original Reason for Entitlement	Output	Why the beneficiary was initially entitled to Medicare – disabled or aged.
Payments for Payment Date <mm/yyyy>	Output	Payment amount for each applicable calculation method (such as Demographic, Risk Adjustment, Blended, ESRD, Hospice, premium, and subsidy) for Part A, Part B, Part D, and the Net Payments for the beneficiary. Payments have asterisks, but components used in the payment calculation do not (e.g., a blended payment has an asterisk, but the demographic and risk-adjusted components used in the blend do not have an asterisk). The Net Payments amount includes additions and subtractions based on rebates, subsidies, and bonuses. Payments were made in the As Of month.

<b>Item</b>	<b>Type</b>	<b>Description</b>
Adjustments Applied to <mm/yyyy>	Output	Adjustment amount for each applicable calculation method (such as Demographic, Risk Adjustment, Blended, ESRD, Hospice, premium, and subsidy) for Part A, Part B, Part D, and the Net Adjustments for the beneficiary. Adjustments have asterisks, but components used in the adjustment calculation do not (e.g., a blended adjustment has an asterisk, but the demographic and risk-adjusted components used in the blend do not have an asterisk). The Net Adjustments amount includes additions and subtractions based on rebates, subsidies, and bonuses. Adjustments apply to the As Of month but were paid in a later month.
Entitlement Information	Output	Eligibility Date and Option for Part A, Part B, and Part D for this beneficiary on the As Of date.
Enrollment Information	Output	Provides the Start Date and the End Date for each of this beneficiary's contracts on the As Of date.
Premium Information	Output	Premium information for the beneficiary on the As Of date. Includes premium withholding option, premiums for Parts C and D (as entered on the enrollment transaction), low income subsidy, late enrollment penalty, waiver of the penalty, subsidy of the penalty, and total premium as paid by the beneficiary.

**Table 4.3-6. M203 Screen Messages**

<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
Missing entry	As Of Date must be entered	Enter the date.
Invalid format	As Of Date is invalid. Must have format (M)M/(D)D/YYYY	Re-enter the date in one of the required formats.
No data	No payment profile information for claim number <claim number> and coverage date as of <date>	There is no payment data available for that claim number on the As Of date entered on the screen. If the user is expecting to see payment data, the user should verify the date and month and re-enter the corrected information.
No data	No prospective payment data for claim number <claim number> and coverage date as of <date>	There is no payment data available for that claim number on the As Of date entered on the screen. If the user is expecting to see payment data, verify the date and month and re-enter the corrected information.
Access conflict	An MBD update is in progress for this beneficiary. Please try again later.	The requested information is currently locked due to a pending update in the MBD. Wait a while and try again to see if the information is available.

Message Type	Message Text	Suggested Action
Software or Database Error	Error occurred retrieving beneficiary snapshot data for claim number <claim number> and coverage date as of <date>	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving MCO Profile information for claim number <claim number> and coverage date as of <date>	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

#### 4.3.3.2 Viewing Enrollment Information

An enrollment history shows all of the times that the beneficiary is, was, or will be enrolled in any of your contracts.

##### STEP 4b: Viewing the *Beneficiary Detail: Enrollment (M204)* screen

To get to the *Beneficiary Detail: Enrollment (M204)* screen, click on the |Enrollment| menu item. This displays a screen, as shown in **Figure 4.3-5**, with a summary list of enrollment information by contract (PBP and segment numbers, as applicable). When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), two rows covering the same time period are displayed. This is how the screen looks when it initially appears. The screen is described in **Table 4.3-7** (note that the Payments section is not yet displayed), with error and validation messages provided in **Table 4.3-8**.

Note
Only contracts to which the Plan has access can be viewed. Therefore, there may be gaps in the list where the user cannot see the enrollment information.

**Claim #:999876543A**  
 112 E WILLOW AVE  
 ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
 Age: 91 Sex: FEMALE  
 State: PA (39) County: BLAIR (120)

Snapshot | **Enrollment** | Status | Payments | Adjustments | Premiums | Factors

**Beneficiary Detail: Enrollment (M204)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006 Close Print Help...

Enrollments 1-3(of 3) (Click on Contract# to view details)

	Contract	PBP #	Seg #	Drug Plan	Start	End	Source	Disenroll Reason	Action
1	<a href="#">H6666</a>	A01	123	N	08/01/2006		H6666		<a href="#">Payment</a>
2	<a href="#">S1234</a>	B01	000	Y	08/01/2006		S1234		<a href="#">Payment</a>
3	<a href="#">H9999</a>	013	000	N	01/01/2006	07/31/2006	H9999	DISENROLLMENT BECAUSE OF ENROLLMENT IN ANOTHER PLAN	<a href="#">Payment</a>

**Figure 4.3-5. Beneficiary Detail: Enrollment (M204) Screen (Initial Display)**

**Table 4.3-7. M204 Screen Inputs, Outputs, and Actions**

Item	Type	Description
<b>Enrollments</b>		
Contract column	Output	Contracts in which the beneficiary has been enrolled.
<a href="#">Contract #</a> in the Contract column	Link	Click on a <a href="#">Contract #</a> link to display the <i>Enrollment Details (M222)</i> screen for that contract and this beneficiary.
PBP # column	Output	PBP number for the contracts for the beneficiary.
Segment # column	Output	Segment number for the contracts for the beneficiary.
Drug Plan column	Output	Indicates whether each contract/PBP provides drug insurance coverage. Set to Y or N.
Start column	Output	Start date for each contract (plus PBP and segment, as applicable) for the beneficiary.
End column	Output	End date for each contract (plus PBP and segment, as applicable) for the beneficiary.



Item	Type	Description
Source column	Output	The person or system that submitted the enrollment [contract number when entered by an user; user ID when entered at CMS, SSA, or Medicare Customer Service Center (MCSC)].
Disenroll Reason column	Output	Disenrollment reason for each contract from which the beneficiary has disenrolled.
<a href="#">Payment</a> in the Action column	Link	Click on a <a href="#">Payment</a> link to display on this same screen the payment information associated with the selected contract/PBP/segment for this beneficiary.
<b>Payments</b>		
Payment Date column	Output	Month/year in which the payments and adjustments were made.
<a href="#">Month/Year</a> in the Payment Date column	Link	Click on a month/year to display the pop-up screen <i>Payment/Adjustment Detail (M215)</i> discussed in <i>Section 4.3.3.8, Viewing Payment and Adjustment Details</i> . This will display detail payment and adjustment information for the contract/PBP/segment selected for this beneficiary.
Contract # column	Output	The selected contract.
Payments column	Output	Payments, broken out by month, for the selected contract (plus PBP and segment, as applicable) for the beneficiary.
Adjustments column	Output	Adjustments, broken out by month, for the selected contract (plus PBP and segment as applicable) for the beneficiary.
Hospice column	Output	Checked if the beneficiary has the status of Hospice that month.
ESRD column	Output	Checked if the beneficiary has the status of ESRD that month.
Working Aged column	Output	Checked if the beneficiary has the status of Working Aged that month.
Inst (Institutional) column	Output	Checked if the beneficiary has the status of Institutional that month.
NHC column	Output	Checked if the beneficiary has the status of NHC that month.
Medicaid column	Output	Checked if the beneficiary has the status of Medicaid that month.
Disability column	Output	Checked if the beneficiary has the status of Disability that month.
CHF column	Output	Checked if the beneficiary has the status of congestive heart failure (CHF) that month.
Part B Premium Reduction column	Output	Checked if a Part B premium [formerly called Benefits Improvement & Protection Act of 2000 (BIPA)] reduction was applied to the payment and/or adjustments for the beneficiary that month.

**Table 4.3-8. M204 Screen Messages**

Message Type	Message Text	Suggested Action
No data	No enrollment information found for claim number <claim number> and coverage date <coverage date>.	No corresponding data is available for that claim number on that date. If the user is expecting to see enrollment data, verify the date and month and re-enter the corrected information.
No data	No payments found for claim number <claim number>, contract number <contract #> and payment date <payment date>.	No corresponding payment data is available for that claim number on that date.
Access conflict	An MBD update is in progress for this beneficiary. Please try again later.	The requested information is currently locked due to a pending update in the MBD. Wait awhile and try again to see if the information is available.
Software or Database Error	Error occurred retrieving enrollment results for claim number <claim number> and coverage date <coverage date>.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving enrollment history for claim number <claim number> and coverage date <coverage date>.	See Appendix B for contact information to report the error.
Software or Database Error	Missing input on retrieval of beneficiary enrollment history	See Appendix B for contact information to report the error.
Software or Database Error	Invalid screen ID	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving payment results for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving payment information for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.
Software or Database Error	Prospective payment information missing for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.

Message Type	Message Text	Suggested Action
Software or Database Error	Payment profile information missing for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

To see details of the transaction that enrolled the beneficiary in a contract, click on a [Contract](#) link. This will display the *Enrollment Detail (M222)* screen for that contract and this beneficiary.

To see a summary of payment and adjustment information for a particular contract, click on the [Payment](#) link associated with that contract, PBP and segment (as applicable), and start date. This expands the information on the *Beneficiary Detail: Enrollment (M204)* screen to include the Payments section. The information is listed by month, as shown in **Figure 4.3-6** and previously described in **Table 4.3-7**, with error and validation messages previously provided in **Table 4.3-8**.

**Claim #:999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 91 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | Payments | Adjustments | Premiums | Factors

**Beneficiary Detail: Enrollment (M204)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006 Close Print Help...

Enrollments 1-3(of 3) (Click on Contract# to view details)

	Contract	PBP #	Seg #	Drug Plan	Start	End	Source	Disenroll Reason	Action
1	<a href="#">H6666</a>	A01	123	N	08/01/2006		H6666		<a href="#">Payment</a>
2	<a href="#">S1234</a>	B01	000	Y	08/01/2006		S1234		<a href="#">Payment</a>
3	<a href="#">H9999</a>	013	000	N	01/01/2006	07/31/2006	H9999	DISENLROLLMENT BECAUSE OF ENROLLMENT IN ANOTHER PLAN	<a href="#">Payment</a>

Payments 1-5(of 5) for Contract# H9999  
(Click on Payment date for details)

Payment Date	Contract#	Payments	Adjustments	Hospice	ESRD	Working Aged	Inst	NHC	Medicaid	Disability	CHF	Part B Premium Reduction
<a href="#">07/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">06/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">05/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">04/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">03/2006</a>	H9999	\$622.35	\$1,244.70	-	-	-	-	-	-	-	-	-

**Figure 4.3-6. Beneficiary Detail: Enrollment (M204) Screen (Expanded)**

To see the payment and adjustment information in further detail, click on one of the [month/year](#) links in the Payment Date column to display the *Payment/Adjustment Detail (M215)* screen, as described in Section 4.3.3.8, Viewing Payment and Adjustment Details.

### 4.3.3.3 Viewing the Status of a Beneficiary

A status history shows the beneficiary's statuses while enrolled in any of the Plan's contracts.

#### STEP 4c: Viewing the *Beneficiary Detail: Status (M205)* screen

To get to the *Beneficiary Detail: Status (M205)* screen, click on the |Status| menu item. This displays a screen, as shown in **Figure 4.3-7**, with a list of enrollment and health status by contract/PBP/segment for this beneficiary. When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), rows for each contract are displayed. There may be more than one set of statuses for a contract/PBP/segment, as a status may change during an enrollment. This is how the screen looks when it initially appears. This screen is described in **Table 4.3-9** (note that the Payments section is not yet displayed), with error and validation messages provided in **Table 4.3-10**.

**Claim #:999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 89 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | **Status** | Payments | Adjustments | Factors

**Beneficiary Detail: Status (M205)**      User: XXXX    Role: MCO REPRESENTATIVE    Date: 11/15/2006

Status 1-3(of 3) (Click on Contract# to view payment details)

				Status Period											
Contract	PBP #	Seg #	Drug Plan	Start	End	Hospice	ESRD	Working Aged	Inst	NHC	Medicaid	Pt-A	SCC	Out of Area	
1	<a href="#">H6666</a>	A01	123	N	08/01/2006	-	-	-	-	-	-	-	15330	✓	
2	<a href="#">S1234</a>	B01	000	N	08/01/2006	-	-	-	-	-	-	-	15330		
3	<a href="#">H9999</a>	013	000	N	01/01/2006	07/31/2006	-	-	-	-	-	-	15330		

**Figure 4.3-7. Beneficiary Detail: Status (M205) Screen (Initial Display)**

**Table 4.3-9. M205 Screen Inputs, Outputs, and Actions**

Item	Type	Description
<b>Statuses</b>		
Contract column	Output	Contracts in which the beneficiary was enrolled. A contract/PBP/segment may be listed more than once if there was a change in status.
<a href="#">Contract #</a> in the Contract column	Link	Click on a <a href="#">Contract #</a> link to display on the same screen additional information associated with the selected contract for this beneficiary.
PBP # column	Output	PBP number for each contract for the beneficiary.
Seg # column	Output	Segment number for each contract for the beneficiary.
Drug Plan column	Output	Indicates whether each contract/PBP provides drug insurance coverage. Set to Y or N.
Start column	Output	Start date for each contract (plus PBP and segment numbers, as applicable) for the beneficiary.
End column	Output	End date for each contract (plus PBP and segment numbers, as applicable) for the beneficiary.
Hospice column	Output	Checked if the beneficiary has the status of Hospice for the period indicated.
ESRD column	Output	Checked if the beneficiary has the status of ESRD for the period indicated.
Working Aged column	Output	Checked if the beneficiary has the status of Working Aged for the period indicated.
Inst (Institutional) column	Output	Checked if the beneficiary has the status of Institutional for the period indicated.
NHC column	Output	Checked if the beneficiary has the status of NHC for the period indicated.
Medicaid column	Output	Checked if the beneficiary has the status of Medicaid for the period indicated.
Pt-A column	Output	Checked if the beneficiary has Part A entitlement for the period indicated.
SCC column	Output	Displays the state and county code (SCC) for the period indicated.
Out of Area column	Output	Checked if the beneficiary is out of area for the period indicated.
<b>Payments</b>		
Payment Date column	Output	Month and year in which payment/adjustments were paid.
<a href="#">Month/Year</a> in the Payment Date column	Link	Click on a <a href="#">month/year</a> link to display the pop-up screen <i>Payment/Adjustment Detail (M215)</i> discussed in Section 4.3.3.8, Viewing Payment and Adjustment Details. This will display detail payment and adjustment information for the contract, PBP, and segment selected.
Contract # column	Output	The selected contract.
Payments column	Output	Payments, broken out by month, for the selected contract, PBP, and segment for the beneficiary.

<b>Item</b>	<b>Type</b>	<b>Description</b>
Adjustments column	Output	Adjustments, broken out by month, for the selected contract, PBP, and segment for the beneficiary.
Hospice column	Output	Checked if the beneficiary has the status of Hospice that month.
ESRD column	Output	Checked if the beneficiary has the status of ESRD that month.
Working Aged column	Output	Checked if the beneficiary has the status of Working Aged that month.
Inst (Institutional) column	Output	Checked if the beneficiary has the status of Institutional that month.
NHC column	Output	Checked if the beneficiary has the status of NHC that month.
Medicaid column	Output	Checked if the beneficiary has the status of Medicaid that month.
Disability column	Output	Checked if the beneficiary has the status of Disability that month.
CHF column	Output	Checked if the beneficiary has the status of CHF that month.
Part B Premium Reduction column	Output	Checked if a Part B premium (formerly called BIPA) reduction was applied to the payment and/or adjustments for the beneficiary that month.

**Table 4.3-10. M205 Screen Messages**

<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
No data	No status information found for contract number <contract> and coverage date <coverage date>.	No corresponding data is available for that contract number on that date. If the user is expecting to see status data, verify the date and month and re-enter the corrected information.
No data	No payments found for claim number <claim number>, contract number <contract #> and payment date <payment date>.	No corresponding payment data is available for that claim number on that date.
Access conflict	An MBD update is in progress for this beneficiary. Please try again later.	The requested information is currently locked due to a pending update in the MBD. Wait awhile and try again to see if the information is available.
Software or Database Error	Error occurred retrieving beneficiary results for claim number <claim number> and coverage date <coverage date>.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving beneficiary status history for claim number <claim number> and coverage date <coverage date>.	See Appendix B for contact information to report the error.

Message Type	Message Text	Suggested Action
Software or Database Error	Missing input on retrieval of beneficiary status history	See Appendix B for contact information to report the error.
Software or Database Error	Invalid screen ID	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving payment results for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving payment information for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.
Software or Database Error	Prospective payment information missing for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.
Software or Database Error	Payment profile information missing for claim number <claim number>, contract number <contract #> and payment date <payment date>.	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

<p><b>Note</b></p> <p>Only contracts to which Plans have access can be viewed. Therefore, there may be gaps in the list where the user cannot see the enrollment information.</p>
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To see a summary of payment and adjustment information for a particular contract, click on the [contract](#) link in the Contract column associated with that contract, PBP and segment numbers (as applicable), and start date. This expands the information on the *Beneficiary Detail: Status (M205)* screen to include the Payments section. The information is listed by month, as shown in **Figure 4.3-8** and previously described in **Table 4.3-9**, with error and validation messages previously provided in **Table 4.3-10**.

**Claim #:999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 91 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | **Status** | Payments | Adjustments | Premiums | Factors

**Beneficiary Detail: Status (M205)**

User: XXXX Role: MCO REPRESENTATIVE Date: 1/12/2006

Status 1-3(of 3) (Click on Contract# to view payment details)

				Status Period											
Contract	PBP #	Seg #	Drug Plan	Start	End	Hospice	ESRD	Working Aged	Inst	NHC	Medicaid	Pt-A	SCC	Out of Area	
1	<a href="#">H6666</a>	A01	123	N	08/01/2006	-	-	-	-	-	-	-	15330	✓	
2	<a href="#">S1234</a>	B01	000	N	08/01/2006	-	-	-	-	-	-	-	15330		
3	<a href="#">H9999</a>	013	000	N	01/01/2006	07/31/2006	-	-	-	-	-	-	15330		

Payments 1-5(of 5) for Contract# H9999  
(Click on Payment date for details)

Payment Date	Contract#	Payments	Adjustments	Hospice	ESRD	Working Aged	Inst	NHC	Medicaid	Disability	CHF	Part B Premium Reduction
<a href="#">07/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">06/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">05/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">04/2006</a>	H9999	\$622.35	\$0.00	-	-	-	-	-	-	-	-	-
<a href="#">03/2006</a>	H9999	\$622.35	\$1,244.70	-	-	-	-	-	-	-	-	-

**Figure 4.3-8. Beneficiary Detail: Status (M205) Screen (Expanded)**

To see the payment and adjustment information in more detail, click on one of the [month/year](#) links in the Payment Date column to display the *Payment/Adjustment Detail (M215)* screen, as described in *Section 4.3.3.8, Viewing Payment and Adjustment Details*.

#### 4.3.3.4 Viewing the Payment Information for a Beneficiary

A payment history shows the payments made for the beneficiary while enrolled in any of the Plan's contracts.

#### STEP 4d: Viewing the *Beneficiary Detail: Payments (M206)* screen

To get to the *Beneficiary Detail: Payments (M206)* screen, click on the |Payments| menu item. This displays a screen, as shown in **Figure 4.3-9** that provides a field for entering a payment month and year. When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), two rows for the same month are displayed. Upon initial display, the current month appears in that field. This screen is described in **Table 4.3-11** (note that the Payments section is not yet displayed), with error and validation messages provided in **Table 4.3-12**.



**Claim #:999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 01 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | **Payments** | Adjustments | Premiums | Factors

**Beneficiary Detail: Payments (M206)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006 Close Print Help...

Enter required field information below and click "Find."

\*Indicates required field

\*Payment Date

**Figure 4.3-9. Beneficiary Detail: Payments (M206) Screen (Initial Display)**

**Table 4.3-11. M206 Screen Inputs, Outputs, and Actions**

Item	Type	Description
<b>Search Criteria</b>		
Payment Date	Required data entry field	Enter a month and year in the form (M)M/YYYY.
[Find]	Button	Click on this button to display payment information in the lower portion of the screen.
<b>Payments</b>		
Payment Date column	Output	When payment/adjustments were paid.
<a href="#">Month/Year</a> in the Payment Date column	Link	Click on a <a href="#">month/year</a> link to display the pop-up screen <i>Payment/Adjustment Detail (M215)</i> screen discussed in <i>Section 4.3.3.8, Viewing Payment and Adjustment Details</i> .
Contract column	Output	Contracts for which payments/adjustments were made.
PBP # column	Output	PBPs for which payments/adjustments were made.
Seg # column	Output	Segments for which payments/adjustments were made.
Part A Payments column	Output	Part A payments for the beneficiary by month.

<b>Item</b>	<b>Type</b>	<b>Description</b>
Part B Payments column	Output	Part B payments for the beneficiary by month.
Part D Payments column	Output	Part D payments for the beneficiary by month.
Total Pay column	Output	Totals of Parts A, B, and D payments for the beneficiary by month.
Part A Adjustments column	Output	Part A adjustments for the beneficiary by month.
Part B Adjustments column	Output	Part B adjustments for the beneficiary by month.
Part D Adjustments column	Output	Part D adjustments for the beneficiary by month.
Total Adj column	Output	Totals of Parts A, B, and D adjustments for the beneficiary by month.
Total Pay+Adj column	Output	Payments plus adjustments for the beneficiary by month.
Part B Premium Reduction column	Output	Indicates whether the payments/adjustments were adjusted for Part B premium reduction (formerly known as a BIPA reduction).
Regional MA BSF column	Output	Lists the bonus paid from the regional Medicare Advantage Bonus Stabilization Fund (MA BSF).

**Table 4.3-12. M206 Screen Messages**

<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
Missing entry	Payment Date must be entered	Enter the date.
Invalid format	Payment Date is invalid. Must have format (M)M/YYYY.	Re-enter the date in one of the required formats.
No data	No composite payments found for claim number <claim number> and coverage date <date>	No payment data is available for that claim number on that date. If expecting to see payment data, the user should verify the date and month and re-enter the corrected information.
Software or Database Error	Error occurred retrieving composite payment results for claim number <claim number> and coverage date <coverage date>.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving composite payment information for claim number <claim number and coverage date <coverage date>.	See Appendix B for contact information to report the error.
Software or Database Error	Invalid screen ID	See Appendix B for contact information to report the error.
Software or Database Error	Missing input	See Appendix B for contact information to report the error.

Message Type	Message Text	Suggested Action
Software or Database Error	Unexpected error code from database	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

To expand the *Beneficiary Detail: Payments (M206)* screen and display a list (ordered by payment month) of payment and adjustment information, enter the month and year of the payment date and click on the [Find] button. The information is displayed by Part A, B, and D for months up through the payment date, as shown in **Figure 4.3-10** and previously described in **Table 4.3-11**, with error and validation messages previously provided in **Table 4.3-12**.

**Claim #:999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 91 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | **Payments** | Adjustments | Premiums | Factors

**Beneficiary Detail: Payments (M206)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006 Close Print Help...

Enter required field information below and click "Find."

\*Indicates required field

\*Payment Date

Payments 1-9(0f9) (Click on payment date to view details)

Payment Date	Contract	PBP#	Seg#	Payments				Adjustments				Total Pay+Adj	Part B Premium Reduction	Regional MA BSF
				Part A	Part B	Part D	Total Pay	Part A	Part B	Part D	Total Adj			
<a href="#">11/2006</a>	H6666	A01	123	\$0.00	\$0.00	\$0.00	\$0.00	\$86.76	\$39.54	\$0.00	\$126.30	\$126.30	-	\$0.00
<a href="#">11/2006</a>	S1234	B01	000	\$0.00	\$0.00	\$222.27	\$222.27	\$0.00	\$0.00	\$0.00	\$0.00	\$222.27	-	\$0.00
<a href="#">10/2006</a>	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00
<a href="#">10/2006</a>	S1234	B01	000	\$0.00	\$0.00	\$222.27	\$222.27	\$0.00	\$0.00	\$0.00	\$0.00	\$222.27	-	\$0.00
<a href="#">09/2006</a>	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00
<a href="#">09/2006</a>	S1234	B01	000	\$0.00	\$0.00	\$222.27	\$222.27	\$0.00	\$0.00	\$0.00	\$0.00	\$222.27	-	\$0.00
<a href="#">08/2006</a>	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00
<a href="#">08/2006</a>	S1234	B01	000	\$0.00	\$0.00	\$222.27	\$222.27	\$0.00	\$0.00	\$0.00	\$0.00	\$222.27	-	\$0.00
<a href="#">07/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
<a href="#">06/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
<a href="#">05/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
<a href="#">04/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00
<a href="#">03/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$739.68	\$505.02	\$0.00	\$1,244.70	\$1,867.05	-	\$0.00

**Figure 4.3-10. Beneficiary Detail: Payments (M206) Screen (Expanded)**

To see the payment and adjustment information in more detail, click on one of the [month/year](#) links in the Payment Date column to display the *Payment/Adjustment Detail (M215)* screen, as described in *Section 4.3.3.8, Viewing Payment and Adjustment Details*.

### 4.3.3.5 Viewing the Adjustment Information for a Beneficiary

An adjustment history shows the adjustments made for the beneficiary while enrolled in any of your contracts.

#### STEP 4e: Viewing the *Beneficiary Detail: Adjustments (M207)* screen

To get to the *Beneficiary Detail: Adjustments (M207)* screen, click on the |Adjustments| menu item. This displays a screen, as shown in **Figure 4.3-11**, that provides a field for entering a payment month and year. When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), two rows for the same month are displayed. Upon initial display, the current date appears in that field. This screen is described in **Table 4.3-13** (note that the Adjustments section is not yet displayed), with error and validation messages provided in **Table 4.3-14**.

The screenshot shows a web application interface for a beneficiary's adjustment details. At the top, there is a blue header bar with white text containing claim and beneficiary information. Below the header, a navigation menu includes 'Snapshot', 'Enrollment', 'Status', 'Payments', 'Adjustments', 'Premiums', and 'Factors'. The main content area is titled 'Beneficiary Detail: Adjustments (M207)' and includes user and role information. A search criteria section is highlighted in yellow, containing a text input field for 'Payment Month' with the value '11/2006' and buttons for 'Find', 'End', and 'Reset'. A message above the field says 'Enter required field information below and click "Find."'.

Figure 4.3-11. Beneficiary Detail: Adjustments (M207) Screen (Initial Display)

Table 4.3-13. M207 Screen Inputs, Outputs, and Actions

Item	Type	Description
<b>Search Criteria</b>		
Payment Month	Required data entry field	Enter a month and year in the form (M)M/YYYY.

Item	Type	Description
[Find]	Button	Click on this button to display adjustment information in the lower portion of the screen.
<b>Adjustments</b>		
Adjustment Date column	Output	Indicates when adjustments were paid.
<a href="#">Month/Year</a> in the Adjustment Date column	Link	Click on a <a href="#">month/year</a> link to display the pop-up screen <i>Payment/Adjustment Detail (M215)</i> discussed in Section 4.3.3.8, Viewing Payment and Adjustment Details.
Contract column	Output	Contracts for which adjustments were made.
PBP column	Output	PBPs for which adjustments were made.
Segment column	Output	Segments for which adjustments were made.
Description column	Output	Description of the adjustment reason for each adjustment.
Adjustment Code column	Output	Code for the adjustment reason for each adjustment.
Part A Adjustments column	Output	Part A adjustments by Paid for Month and adjustment reason.
Part B Adjustments column	Output	Part B adjustments by Paid for Month and adjustment reason.
Part D Adjustments column	Output	Part D adjustments by Paid for Month and adjustment reason.
Total Adjustments column	Output	Total adjustments by month and adjustment reason.
Paid for Month column	Output	Indicates the month to which the adjustment applies.

**Table 4.3-14. M207 Screen Messages**

Message Type	Message Text	Suggested Action
Missing entry	Payment Month must be entered	Enter the date.
Invalid format	Payment Month is invalid. Must have format (M)M/YYYY.	Re-enter the date in one of the required formats.
No data	No adjustments found for claim number <claim number> and payment month <month>	No adjustment data is available for that claim number up through that month. If the user is expecting to see payment data, the user should verify the month and re-enter the corrected information.
Software or Database Error	Error occurred retrieving adjustment results for claim number <claim number> and payment month <payment month>.	See Appendix B for contact information to report the error.

Message Type	Message Text	Suggested Action
Software or Database Error	Error occurred retrieving adjustment history for claim number <claim number> and payment month <payment month>.	See Appendix B for contact information to report the error.
Software or Database Error	Invalid screen ID	See Appendix B for contact information to report the error.
Software or Database Error	Missing input on retrieval of beneficiary adjustment history	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database = <error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

To expand the screen to display a list (ordered by adjustment month) of adjustment information that occurred up through the payment month the user entered, enter the month and year of the payment date and click on the [Find] button. The Parts A, B, and D adjustments are listed in adjustment code as shown in **Figure 4.3-12**, which was previously described by **Table 4.3-13**, with error and validation messages previously provided in **Table 4.3-14**.

**Claim #:999876543A**  
112 E WILLOW AVE  
ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
Age: 91 Sex: FEMALE  
State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | Payments | **Adjustments** | Premiums | Factors

**Beneficiary Detail:Adjustments (M207)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006 Close Print Help...

Enter required field information below and click "Find."

\* Indicates required field  
\* Payment Month

**Adjustment 1-5(Of 5) (Click on adjustment date to view details)**

Adjustment Date	Contract	PBP	Segment	Description	Adjustment Code	Adjustments				Paid for Month
						Part A	Part B	Part D	Total	
<a href="#">11/2006</a>	H6666	A01	123	RETROACTIVE ENROLLMENT	02	\$28.92	\$13.18	\$0.00	\$42.10	10/2006
<a href="#">11/2006</a>	H6666	A01	123	RETROACTIVE ENROLLMENT	02	\$28.92	\$13.18	\$0.00	\$42.10	09/2006
<a href="#">11/2006</a>	H6666	A01	123	RETROACTIVE ENROLLMENT	02	\$28.92	\$13.18	\$0.00	\$42.10	08/2006
<a href="#">03/2006</a>	H9999	013	000	RETROACTIVE ENROLLMENT	02	\$369.84	\$252.51	\$0.00	\$622.35	02/2006
<a href="#">03/2006</a>	H9999	013	000	RETROACTIVE ENROLLMENT	02	\$369.84	\$252.51	\$0.00	\$622.35	01/2006

**Figure 4.3-12. Beneficiary Detail: Adjustments (M207) Screen (Expanded)**

To see the payment and adjustment information in more detail, click on one of the [month/year](#) links in the Adjustment Date column to display the *Payment/Adjustment Detail (M215)* screen, as described in *Section 4.3.3.8, Viewing Payment and Adjustment Details*.

#### 4.3.3.6 Viewing the Premium Information for a Beneficiary

The premium information includes the history of basic premiums paid by the beneficiary, the penalty for late enrollment added to the premiums, and the subsidies paid by the government that reduce the premiums.

##### STEP 4e: Viewing the *Beneficiary Detail: Premiums (M231)* screen

To get to the *Beneficiary Detail: Premiums (M231)* screen, click on the |Premiums| menu item. This displays a screen, as shown in **Figure 4.3-13**, that provides a field for entering a payment month and year. When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), two rows for the same month are displayed. Upon initial display, the current month appears in that field. This screen is described in **Table 4.3-15** (note that the premiums section is not yet displayed), with error and validation messages provided in **Table 4.3-16**.

The screenshot displays the 'Beneficiary Detail: Premiums (M231)' screen. At the top, there is a header bar with the following information: Claim #: 999876543A, VERNA M. MILLER, and DOB: 04/06/1914. Below this, the address is listed as 112 E WILLOW AVE, ALTOONA, PA 16601-3944. To the right, the beneficiary's age is 91, sex is FEMALE, and the state and county are PA (39) and BLAIR (120) respectively. A navigation bar includes links for Snapshot, Enrollment, Status, Payments, Adjustments, Premiums (which is highlighted), and Factors. Below the navigation bar, the screen title is 'Beneficiary: Detail Premiums (M231)' with additional details: User: XXXX, Role: MCO REPRESENTATIVE, and Date: 11/15/2006. There are buttons for Close, Print, and Help. The main content area contains a text prompt: 'Enter the month of the premiums to be viewed and click "Find."' followed by a note '\*Indicates required field'. Below this is a label '\*Payment Date' and a text input field containing '11/2006'. At the bottom of the input area are 'Find' and 'Reset' buttons.

**Figure 4.3-13. Beneficiary Detail: Premiums (M231) Screen (Initial Display)**

**Table 4.3-15. M231 Screen Inputs, Outputs, and Actions**

Item	Type	Description
<b>Search Criteria</b>		
Payment Date	Required data entry field	Enter a month and year in the form (M)M/YYYY.
[Find]	Button	Click on this button to display premium information in the lower portion of the screen.
<b>Payments</b>		
Start Date column	Output	When the premium charge began.
End Date column	Output	When the premium charge end.
Creation Date column	Output	When the premium information was provided.
Contract column	Output	Contract for which premiums were charged.
PBP column	Output	PBP for which premiums were charged.
Seg column	Output	Segment for which premiums were charged.
Premium Withholding Option column	Output	Option that the beneficiary chose for paying the premiums.
Enrollment Premiums Part C column	Output	Part C premium paid by the beneficiary.
Enrollment Premiums Part D column	Output	Part D premium paid by the beneficiary.
Low-Income Subsidy column	Output	Amount of Part D premiums that were subsidized.
Low-Income Subsidy % column	Output	Percentage of the Part D premiums that were subsidized.
Low-Income Subsidy Adj column	Output	Indicates whether the Part D premiums were subsidized.
# of Uncov Months column	Output	Number of months during which the beneficiary was not covered by drug insurance.
Late Enrollment Penalty column	Output	Penalty charged for late enrollment in Part D coverage.
Late Enrollment Penalty Adj column	Output	Indicates whether late enrollment penalties were charged.
LEP Subsidy column	Output	Amount of the late enrollment penalty that was subsidized.
LEP Waiver column	Output	Amount of the late enrollment penalty that was waived.
Total Premiums column	Output	Total premium charged for Parts C and/or D (as applicable), taking into account subsidies and penalties

**Table 4.3-16. M231 Screen Messages**

Message Type	Message Text	Suggested Action
Missing entry	Payment Month must be entered	Enter the date.
Invalid format	Payment Month is invalid. Must have format (M)M/YYYY.	Re-enter the date in one of the required formats.



Message Type	Message Text	Suggested Action
No data	No premiums found for claim number <claim number>	No payment data is available for that claim number on that date. If expecting to see payment data, the user should verify the date and month and re-enter the corrected information.
Software or Database Error	Error occurred retrieving beneficiary premium results for claim number <claim number>	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving beneficiary premium information for claim number <claim number>	See Appendix B for contact information to report the error.
Software or Database Error	Missing input data to retrieve premiums	See Appendix B for contact information to report the error.
Software or Database Error	Error returning premiums	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database = <error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

To expand the *Beneficiary Detail: Premiums (M231)* screen and display a list of premium information, enter the month and year of the payment date and click on the [Find] button. The information for the contracts in which the beneficiary was enrolled that month is displayed, as shown in **Figure 4.3-14** and previously described in **Table 4.3-15**, with error and validation messages previously provided in **Table 4.3-16**.

**Claim #:999876543A**  
 112 E WILLOW AVE  
 ALTOONA, PA 16601-3944

**VERNA M. MILLER**

**DOB: 04/06/1914**  
 Age: 91 Sex: FEMALE  
 State: PA (39) County: BLAIR (120)

Snapshot | Enrollment | Status | Payments | Adjustments | Premiums | Factors

**Beneficiary: Detail Premiums (M231)** User: XXXX Role: MCO REPRESENTATIVE Date: 11/15/2006 Close Print Help...

Enter the month of the premiums to be viewed and click "Find."  
 \*Indicates required field  
 \*Payment Date  
  
Find Reset

Start Date	End Date	Creation Date	Enrollment			Premium Withholding Option	Enrollment Premiums		Low Income Subsidy			Late Enrollment				Total Premium	
			Contract	PBP	Segment		Part C	Part D	Subsidy	Subsidy %	Subsidy Adj	# of Uncov. Mos.	Penalty	Penalty Adj	LEP Subsidy		LEP Waiver
08/01/2006	12/31/2006	10/11/2005	H6666	A01	123	DIRECT SELF-PAY	\$32.15	\$0.00	\$0.00	0.0%	N	0	\$0.00	N	\$0.00	\$0.00	\$32.15
08/01/2006	12/31/2006	10/11/2005	S1234	B01	001	DIRECT SELF-PAY	\$0.00	\$30.90	\$30.90	100.00%	Y	0	\$0.00	N	\$0.00	\$0.00	\$0.00

**Figure 4.3-14. Beneficiary Detail: Premiums (M231) Screen (Expanded)**

To see the payment and adjustment information in more detail, click on one of the [month/year](#) links in the Payment Date column to display the *Payment/Adjustment Detail (M215)* screen, as described in *Section 4.3.3.8, Viewing Payment and Adjustment Details*.

#### 4.3.3.7 Viewing Beneficiary Factors

A factors history shows the factors used to calculate payments made for the beneficiary while enrolled in any of your contracts.

#### STEP 4g: Viewing the *Beneficiary Detail: Factors (M220)* screen

To get to the *Beneficiary Detail: Factors (M220)* screen, click on the |Factors| menu item. This displays a screen, as shown in **Figure 4.3-15**, that provides the factors that were used to calculate payments. This screen is described in **Table 4.3-17**, with error and validation messages provided in **Table 4.3-18**.

**Claim #:999876543A**  
 112 E WILLOW AVE  
 ALTOONA, PA 16601-3944
 

**VERNA M. MILLER**  
 Age: 91 Sex: FEMALE  
 State: PA (39) County: BLAIR (120)
 

**DOB: 04/06/1914**

[Snapshot](#) | [Enrollment](#) | [Status](#) | [Payments](#) | [Adjustments](#) | [Factors](#)

 User: XXXX Role: MCO REPRESENTATIVE Date: 1/12/2006

**Beneficiary Detail:Factors (M220)**

Factors 1-2(of 2)

	Factor Type	Part A	Part B	Standard Part D	PIP-DCG	Start Date	End Date
1	RA FACTOR	0.5820	0.5820	0.5820	04	01/01/2005	12/31/2005
2	RA FACTOR	0.5770	0.5770	0.5770	04	01/01/2006	12/31/2006

*Figure 4.3-15. Beneficiary Detail: Factors (M220) Screen*

**Table 4.3-17. M220 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Factor Type column	Output	Type of factor calculated for the beneficiary, such as CHF.
Part A column	Output	Part A factor calculated for the beneficiary for the factor type shown.
Part B column	Output	Part B factor calculated for the beneficiary for the factor type shown.
Standard Part D	Output	Part D factor calculated for the beneficiary for the factor type shown.
PIP-DCG column	Output	Principal Inpatient Diagnosis Cost Group (PIP-DCG) score calculated for the beneficiary.
Start Date column	Output	First day the factors were effective.
End Date column	Output	Last day the factors were effective.

**Table 4.3-18. M220 Screen Messages**

Message Type	Message Text	Suggested Action
No data	No factors found for claim number <claim number>	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving beneficiary-specific factors results for claim number <claim number>	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving beneficiary-specific factors information for claim number <claim number>	See Appendix B for contact information to report the error.
Software or Database Error	Invalid input	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

#### 4.3.3.8 Viewing Payment and Adjustment Details

The payment and adjustment details show the components that comprise the payments, adjustments, premiums, rebates, subsidies, and bonuses that apply to a beneficiary in a month.

##### STEP 5: Viewing the *Payment/Adjustment Detail (M215)* screen

The *Payment/Adjustment Detail (M215)* screen is accessible by clicking on a [Payment Date](#) or [Adjustment Date](#) link from the following screens:

- *Beneficiary Detail: Enrollment (M204)*
- *Beneficiary Detail: Status (M205)*

- *Beneficiary Detail: Payments (M206)*
- *Beneficiary Detail: Adjustments (M207)*
- *Beneficiary Payment History (M406)*

The screen, as shown in **Figure 4.3-16**, provides payment and adjustment details for the selected month and contract. Adjustments are listed by adjustment reason code and are shown on the screen for the month in which Plans are paid, not the month to which they apply. When a blended rate is displayed, the demographic and risk-adjusted components used in the blending calculation are also displayed. Any additions and subtractions for bonuses, rebates, and/or subsidies are listed on separate lines. The screen is described in **Table 4.3-19**, with error and validation messages provided in **Table 4.3-20**.

Claim #:999876543A		VERNA M. MILLER			DOB: 04/06/1914				
112 E WILLOW AVE					Age: 91 Sex: FEMALE				
ALTOONA, PA 16601-3944					State: PA (39) County: BLAIR (120)				
Payment/Adjustment Detail (M215)				User: XXXX	Role: MCO REPRESENTATIVE	Date: 4/12/2006	<input type="button" value="Close"/>	<input type="button" value="Print"/>	<input type="button" value="Help..."/>
Payments/Adjustment Table - Contract# H9999									
Payment Date	Type	Description	Adjustment Code	Payment/Adjustments				Paid for Month	
				Part A	Part B	Part D	Total		
03/2006	PAYMENT COMPONENT	DEMOGRAPHIC	-	\$326.36	\$323.17	-	\$649.53	03/2006	
03/2006	PAYMENT COMPONENT	RISK ADJUSTED	-	\$180.21	\$159.62	-	\$339.83	03/2006	
03/2006	PAYMENT	BLEND	-	\$216.75	\$200.51	-	\$417.26	03/2006	
03/2006	PAYMENT	BASIC PART C PREMIUM	-	\$44.00	\$36.00	-	\$80.00	03/2006	
03/2006	PAYMENT COMPONENT	BASIC PART D PREMIUM	-	-	-	\$30.00	\$30.00	03/2006	
03/2006	PAYMENT	REBATE FOR PART B PREMIUM REDUCTION	-	\$0.00	\$0.00	-	\$0.00	03/2006	
03/2006	PAYMENT	REBATE FOR A/B COST SHARING	-	\$0.00	\$0.00	-	\$0.00	03/2006	
03/2006	PAYMENT	REBATE FOR A/B MANDATORY SUPPLEMENTAL BENEFITS	-	\$0.00	\$0.00	-	\$0.00	03/2006	
03/2006	PAYMENT	REBATE FOR PART D BASIC PREMIUM REDUCTION	-	\$0.00	\$0.00	-	\$0.00	03/2006	
03/2006	PAYMENT	REBATE FOR PART D SUPPLEMENTAL BENEFITS	-	\$0.00	\$0.00	-	\$0.00	03/2006	
03/2006	PAYMENT	PART D DIRECT SUBSIDY	-	-	-	\$6.14	\$6.14	03/2006	
03/2006	PAYMENT	LIS COST SHARING	-	-	-	\$12.00	\$12.00	03/2006	
03/2006	PAYMENT	REINSURANCE AMOUNT	-	-	-	\$3.00	\$3.00	03/2006	
03/2006	PAYMENT COMPONENT	TOTAL PART D PAYMENTS	-	-	-	-	\$21.14	03/2006	
03/2006	PAYMENT	BSF MONTHLY	-	\$6.05	\$3.95	-	\$11.00	03/2006	
03/2006	PAYMENT	BONUS PAYMENTS	-	-	-	-	\$31.14	03/2006	
03/2006	PAYMENT	PACE PREMIUM ADD-ON	-	-	-	\$40.98	\$40.98	03/2006	
03/2006	PAYMENT	PACE COST SHARING ADD-ON	-	-	-	\$51.32	\$51.32	03/2006	
03/2006	ADJUSTMENT COMPONENT	DEMOGRAPHIC	-	\$326.36	\$323.17	-	\$649.53	02/2006	
03/2006	ADJUSTMENT COMPONENT	RISK ADJUSTED	-	\$180.21	\$159.62	-	\$339.83	02/2006	
03/2006	ADJUSTMENT	RETROACTIVE ENROLLMENT	02	\$216.75	\$200.51	-	\$417.26	02/2006	
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO BASIC PART D PREMIUM	30	-	-	\$30.00	\$30.00	02/2006	
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO LIS COST SHARING	32	-	-	\$12.00	\$12.00	02/2006	
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO REINSURANCE AMOUNT	33	-	-	\$3.00	\$3.00	02/2006	
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO BASIC PART C PREMIUM	34	\$44.00	\$36.00	-	\$80.00	02/2006	
03/2006	ADJUSTMENT	RETROACTIVE CHANGE TO REBATE AMOUNT	35	\$0.00	\$0.00	-	\$0.00	02/2006	

Figure 4.3-16. Payment/Adjustment Detail (M215) Screen

**Table 4.3-19. M215 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Payment Date column	Output	Date on which the payments were made.
Type column	Output	Specifies the type. These include payment, payment component, equivalent, and adjustment component.
Description column	Output	For payments or equivalent, provides description, such as demographic, risk adjusted, blended, one of the premiums types, one of the rebate types, or one of the subsidy types. For adjustments, describes reason for the adjustment.
Adjustment Code column	Output	Code of adjustment reason for each adjustment. Dashes are used when it is not an adjustment.
Payment/Adjustments Part A column	Output	Part A amount of payment or adjustment, as applicable.
Payment/Adjustments Part B column	Output	Part B amount of payment or adjustment, as applicable.
Payment/Adjustments Part D column	Output	Part D amount of payment or adjustment, as applicable.
Payment/Adjustments Total column	Output	Total amount of payment or adjustment, as applicable.
Paid for Month column	Output	Month/year to which the payment applies. For adjustments, this month is being adjusted, not the month in which the adjustment is paid.

**Table 4.3-20. M215 Screen Messages**

Message Type	Message Text	Suggested Action
Software or Database Error	Error occurred retrieving payments/adjustments from database	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving payments/adjustments detail results	See Appendix B for contact information to report the error.
Software or Database Error	Invalid screen ID	See Appendix B for contact information to report the error.
Software or Database Error	Missing input for retrieval of payments/adjustments	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

#### 4.3.3.9 Viewing Enrollment Details

The enrollment details show the information on the enrollment and (as applicable) disenrollment for a beneficiary in a Plan.

**STEP 6: Viewing the Enrollment Detail (M222) screen**

The Enrollment Detail (M222) screen is accessible by selecting a [Contract #](#) link from the Beneficiary Detail: Enrollment (M204) screen.

The screen, as shown in **Figure 4.3-17**, provides details of the selected enrollment or enrollment period. The screen is described in **Table 4.3-21**, with error and validation messages provided in **Table 4.3-22**.

Claim #: 999876543A 112 E WILLOW AVE ALTOONA, PA 16601-3944	VERNA M. MILLER	DOB: 04/06/1914 Age: 91 Sex: FEMALE State: PA (39) County: BLAIR (120)
<b>Enrollment Detail (M222)</b>		
User: XXXX Role: MCO REPRESENTATIVE Date: 8/1/2006 <span style="float: right;"> <input type="button" value="Close"/> <input type="button" value="Print"/> <input type="button" value="Help..."/> </span>		
Contract: H9999 MCO Name: ACME HEALTH SERVICES PBP Number: 013 Segment Number: 000 Drug Plan: Y Effective Start Date: 01/01/2006 Effective End Date: 07/31/2006 EGHP: Y Enrollment Forced Code: Disenrollment Reason Code: 13 Application Date: 12/01/2005 Enrollment Election Type: ANNUAL ELECTION PERIOD (AEP) Disenrollment Election Type: SPECIAL ELECTION PERIOD (SEP) Special Needs Type: Enrollment Source: BENEFICIARY ELECTION Part D Auto-Enrollment Opt-Out:		

**Figure 4.3-17. Enrollment Detail (M222) Screen**

**Table 4.3-21. M222 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Contract	Output	Contract number in which the beneficiary is enrolled.
MCO Name	Output	Name of the contract.
PBP Number	Output	PBP in which the beneficiary is enrolled, when applicable.
Segment Number	Output	Segment in which the beneficiary is enrolled, when applicable.
Drug Plan	Output	Indicates whether the contract provides drug insurance coverage. Set to Y or N.



<b>Item</b>	<b>Type</b>	<b>Description</b>
Effective Start Date	Output	Start of enrollment.
Effective End Date	Output	End of enrollment, when applicable.
EGHP	Output	Indicates whether the enrollment is an Employer Group Health Plan (EGHP). Set to Y or N.
Enrollment Forced Code	Output	Reason for overriding certain membership validation rules, when applicable.
Disenrollment Reason Code	Output	Reason for disenrollment, when applicable.
Application Date	Output	Date when the signed enrollment request was received by the Plan.
Enrollment Election Type	Output	Type of election period when enrollment took place.
Disenrollment Election Type	Output	Type of election period when disenrollment took place.
Special Needs Type	Output	Type of special needs population for which the Plan provides coverage (Institutional, Dual Eligible, or Chronic or Disabling Condition)
Enrollment Source	Output	What triggered the enrollment — automatically enrolled by CMS, beneficiary election, or facilitated enrollment by CMS.
Part D Auto-Enrollment Opt-Out	Output	Indicates whether the beneficiary opted out of Part D coverage. Applies only to automatic enrollments by CMS. Set to Y or N.

**Table 4.3-22. M222 Screen Messages**

<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
Software or Database Error	Error occurred retrieving beneficiary enrollment information	See Appendix B for contact information to report the error.
Software or Database Error	Invalid input retrieving beneficiary enrollment information	See Appendix B for contact information to report the error.
Software or Database Error	Beneficiary enrollment information is missing	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database = <error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

## 4.4 Viewing Payment Information

This section discusses how to view Plan and beneficiary payment information.

### 4.4.1 Viewing Plan Payment Information

Total payments to Plans are calculated as part of month-end processing. This section describes how to view the Plan payment information. These payment amounts are based on the beneficiary capitation amounts and may differ from the actual payment to the Plan due to contract-level payment adjustments, such as the Balanced Budget Act (BBA) User Fee adjustment. For the current processing month, the payments reflect the transactions processed to date.

#### **STEP 1: Getting to the *Payments: MCO (M401)* screen**

From the MARx main menu, click on the |Payments| menu item. The |MCO| submenu item is already selected and displays the *Payments: MCO (M401)* screen.

#### **STEP 2: Viewing payment summary information by Plan**

The *Payments: MCO (401)* screen is used for entering selection criteria, as shown in **Figure 4.4-1** and described in **Table 4.4-1**, with error and validation messages provided in **Table 4.4-2**.

The user should enter the month and year for the specific payment information being requested. To narrow the search further, specify a contract number (and optionally a PBP and/or segment). If a contract number is not entered, then all contracts for which the user has access will be displayed. Another option is to break down the payments by PBP. If that option is not selected, the payments for a contract will be summarized at the contract level. If breakdown by PBP is selected, contracts without PBPs will be included on the display but summarized at the contract level. Similarly, there is an option to break down the payments by segment. If that option is not selected, the payments for a contract will be summarized at the contract or PBP level, based on whether the breakdown by PBP option was selected. If breakdown by segment is selected, PBPs without segments will be included but summarized at the PBP level. Click on the [Find] button to bring up the *Payments: MCO Payments (M402)* screen showing all of the contracts that meet the criteria.

Because the results from this search can vary based on the criteria, the examples following **Table 4.4-2** provide alternate screen shots for various inputs.

Figure 4.4-1. Payments: MCO (M401) Screen

Table 4.4-1. M401 Screen Inputs, Outputs, and Actions

Item	Type	Description
Contract #	Data entry field	Enter to narrow the request to a particular contract. If a contract is not entered, then all of the user's contracts will be displayed.
Breakdown By PBP	Checkbox	If checked, the payment information will be listed by PBP within each contract. Otherwise, the payment information will be summarized at the contract level. <b>NOTE:</b> When Breakdown By Segment is checked, payments will be shown by PBP, whether or not this option is checked.
PBP #	Data entry field	A PBP may be specified to request the payment information for this PBP only. If a PBP is not entered, then payment information for all PBPs in a contract (if applicable) will be displayed (either at the contract or PBP level, depending on whether Breakdown By PBP is checked). A contract number must be specified when a PBP number is specified.

Item	Type	Description
Breakdown By Segment	Checkbox	If checked, the payment information will be listed by segment within the PBP. If not checked, the payment information will be summarized at the PBP level when Breakdown by PBP and summarized at the contract level otherwise.
Segment #	Data entry field	A segment may be specified to request the payment information for this segment only. If a segment is not entered, then payment information for all segments in a PBP (if applicable) will be displayed (at the contract, PBP, or segment level, depending on whether Breakdown By PBP and Breakdown by Segment are checked). A PBP must be specified when a segment number is specified.
For Month/Year	Required data entry field	Request is for payments made in this month. Enter the date in the form (M)M/YYYY.
[Find]	Button	After the search criteria have been entered, click on this button to display the list of reports.

**Table 4.4-2. M401 Screen Messages**

Message Type	Message Text	Suggested Action
Missing entry	Month/Year must be entered	Enter the month/year.
Invalid format	Month/Year is invalid. Must have format (M)M/YYYY	Re-enter the month/year in one of the required formats.
Invalid format	A contract number must start with an 'H', '9', 'R', 'S', or 'F' and be followed by four characters	Re-enter the contract number.
Invalid format	PBP number must be 3 alpha-numeric characters	Re-enter the PBP.
Invalid format	Segment number must be a three-digit number	Re-enter the segment.
Invalid entry	When a PBP is entered, a contract number must also be entered	Enter a contract number.
Invalid entry	When a segment is entered, contract and PBP numbers must be entered also	Make sure to enter a PBP if the user is entering a segment.
Invalid entry	Invalid contract/PBP combination	Make sure the PBP is in the contract.
Invalid entry	Invalid contract/PBP/segment combination	Make sure the PBP is in the contract and the segment is in the PBP.
Invalid entry	You do not have access rights to this Contract.	First, verify the contract number has been entered correctly. If entered correctly and if the user should have rights to this contract, see the CO Computer Specialist who can update the user's profile to provide access rights.

Message Type	Message Text	Suggested Action
No data	No summary payment data found for specified criteria	Verify the selection criteria. If criteria were entered incorrectly, re-enter the data.
Software or Database Error	The result set that contains the summary payment data is empty.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving summary payment data results from database	See Appendix B for contact information to report the error.
Software or Database Error	Invalid input to stored procedure	See Appendix B for contact information to report the error.
Software or Database Error	Missing input.	See Appendix B for contact information to report the error.
Software or Database Error	No records returned from the database	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database = <error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

**EXAMPLE 1: Multiple contracts and no PBP breakdown**

**Figure 4.4-2** provides an example of the *Payments: MCO Payments (M402)* screen that results when only a month/year is entered on the *Payments: MCO (M401)* screen, a contract number and PBP are not entered, and Breakdown By PBP is not specified. All contracts to which user XXXX has access are displayed, and the payments are shown at the contract level. (Note that only the Contracts section is displayed on the screen; the Current Payments and Adjustment Payments sections are displayed in STEP 3.) This screen is described in **Table 4.4-3**. There are no error messages for the initial display of the screen, as any messages are displayed on *Payments: MCO (M401)* screen. **Table 4.4-4** shows the error and validation messages that may be displayed when the screen is expanded to show sections below the Contracts section.

**CMS Medicare Advantage Prescription Drug (MARx)**  
 Welcome | Beneficiaries | Transactions | **Payments** | Rates | Reports | Maintenance  
 MCO | Beneficiary | Calculator | Premiums/Rebates

Payments: MCO Payments (M402) User: XXXX Role: CMS CENTRAL OFFICE USER Date: 3/1/2006 [Print] [Help...]

Payment Information for Month 3/2006 1-3(of 3)  
 (Click on Contract# to display Payment Summary)

Contract #	Contract Name	Payments			
		Part A	Part B	Part D	Total
<a href="#">H1111</a>	COLUMBIA HEALTH CARE	\$12,058.37	\$37,185.63	\$9,578.07	\$58,822.07
<a href="#">H2222</a>	MUTUAL OF VIRGINIA	\$15,677.89	\$13,447.59	\$0.00	\$29,125.48
<a href="#">H3333</a>	MOUNTAIN INSURANCE	\$0.00	\$0.00	\$5,309.20	\$5,309.20

**Figure 4.4-2. Payments: MCO Payments (M402) Screen for Multiple Contracts and No PBP or Segment Breakdown (Initial Display, Example 1)**

**Table 4.4-3. M402 Screen Inputs, Outputs, and Actions**

Item	Type	Description
<b>Contracts</b>		
<a href="#">Contract #</a> column heading	Sorter	Sorts Plan payment summary information by contract number.
<a href="#">Contract #</a> in the Contract # column	Link	Expands screen to show the breakdown for the selected contract.
<a href="#">Contract Name</a> column heading	Sorter	Sorts Plan payment summary information by contract name.
<a href="#">PBP #</a> column	Output	When displayed, information is displayed for the PBP in the contract.
<a href="#">Segment #</a> column	Output	When displayed, information is displayed for the segment in the contract and PBP.
Payments Part A column	Output	Part A payments for the contract.
Payments Part B column	Output	Part B payments for the contract.

Item	Type	Description
Payments Part D column	Output	Part D payments for the contract.
Payments Total column	Output	Parts A, B, and D payment totals for the contract.
<b>Current Payments</b>		
Amount shown in parentheses after Part A Total Payments row heading	Output	Average Part A payment this month.
Amount shown in parentheses after Part B Total Payments row heading	Output	Average Part B payment this month.
Amount shown in parentheses after Part D Total Payments row heading	Output	Average Part D payment this month.
Payments Part A Members column	Output	Number of members in the contract with Part A payments this month. Gives total plus breakdown by status.
Payments Part A Total Amount column	Output	Payments and adjustments (for all beneficiaries) in the contract for Part A this month. Gives total plus breakdown by status.
Payments Part B Members column	Output	Number of members in the contract with Part B payments this month. Gives total plus breakdown by status.
Payments Part B Total Amount column	Output	Payments and adjustments (for all beneficiaries) in the contract for Part B this month. Gives total plus breakdown by status.
Payments Part D Members column	Output	Number of members in the contract with Part D payments this month. Gives total plus breakdown by status.
Payments Part D Total Amount column	Output	Payments and adjustments (for all beneficiaries) in the contract for Part D this month. Gives total plus breakdown by status.
Total Out of Area	Output	Number of beneficiaries living out of the service area for the contract this month.
<b>Adjustment Payments (only displayed if there are any adjustments)</b>		
Code column	Output	Adjustment reason code.
<a href="#">Code</a> in the Code Column	Link	Opens the <i>Adjustment Detail (M408)</i> screen to display a breakdown of the adjustments for the contract/PBP and month by beneficiary.
Adjustment Reason column	Output	Description of the adjustment reason code.
# column	Output	Number of adjustments by adjustment reason for the contract this month.

Item	Type	Description
Months A column	Output	Total months (over all beneficiaries) for which adjustments are made for Part A by adjustment reason.
Months B column	Output	Total months (over all beneficiaries) for which adjustments are made for Part B by adjustment reason.
Months D column	Output	Total months (over all beneficiaries) for which adjustments are made for Part D by adjustment reason.
Part A column	Output	Total amount of Part A adjustments by adjustment reason.
Part B column	Output	Total amount of Part B adjustments by adjustment reason.
Part D column	Output	Total amount of Part D adjustments by adjustment reason.
Total Amount column	Output	Total amount of Parts A, B, and D adjustments by adjustment reason.

**Table 4.4-4. M402 Screen Messages**

Message Type	Message Text	Suggested Action
No data	No payment data for the criteria entered	Verify the selection criteria. If criteria were entered incorrectly, re-enter the data.
Software or Database Error	The result set that contains the Payment MCO Payments is empty.	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving MCO payment details for contract <contract>	See Appendix B for contact information to report the error.
Software or Database Error	Invalid input to the stored procedure	See Appendix B for contact information to report the error.
Software or Database Error	Missing input	See Appendix B for contact information to report the error.
Software or Database Error	No records returned from the database	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database <error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

**EXAMPLE 2: Multiple contracts and PBP breakdown**

**Figure 4.4-3** provides an example of the *Payments: MCO Payments (M402)* screen that results when a contract number is not entered and Breakdown By PBP is specified. All contracts to which user XXXX has access are displayed, and the payments are shown at the PBP level (if this example had contracts without PBPs, payments would be shown at the contract level). (Note that only the Contracts section is displayed on the screen; the Current Payments and Adjustment



Payments sections are displayed in STEP 3.) The inputs, outputs, and actions are described previously in **Table 4.4-3**. There are no error messages for the initial display of the screen, as any messages are displayed on *Payments: MCO (M401)* screen. See **Table 4.4-4** for the error and validation messages that may be displayed when the screen is expanded to show sections below the contracts.

Payment Information for Month 3/2006 1-6(of 6)  
(Click on Contract# to display Payment Summary)

Contract #	PBP #	Contract Name	Payments			
			Part A	Part B	Part D	Total
<a href="#">H1111</a>	001	COLUMBIA HEALTH CARE	\$5,793.21	\$14,315.45	\$3,253.87	\$23,362.53
<a href="#">H1111</a>	002	COLUMBIA HEALTH CARE	\$4,396.12	\$16,439.08	\$2,255.07	\$23,090.27
<a href="#">H1111</a>	003	COLUMBIA HEALTH CARE	\$1,869.04	\$6,431.10	\$4,069.13	\$12,369.27
<a href="#">H2222</a>		MUTUAL OF VIRGINIA	\$15,677.89	\$13,447.59	0.00	\$29,125.48
<a href="#">H3333</a>	A01	MOUNTAIN INSURANCE	\$0.00	\$0.00	\$2,701.20	\$2,701.20
<a href="#">H3333</a>	A02	MOUNTAIN INSURANCE	\$0.00	\$0.00	\$2,608.00	\$2,608.00

**Figure 4.4-3. Payments: MCO Payments (M402) Screen for Multiple Contracts and PBP Breakdown (Initial Display, Example 2)**

**EXAMPLE 3: Single contract with Segment breakdown**

**Figure 4.4-4** provides an example of the *Payments: MCO Payments (M402)* screen that results when a contract number is entered and Breakdown By Segment is specified. Only one contract is displayed, and the payments are shown at the Segment level. (Note that only the Contracts section is displayed on the screen; the Current Payments and Adjustment Payments sections are displayed in STEP 3.) The inputs, outputs, and actions are described previously in **Table 4.4-3**. There are no error messages for the initial display of the screen, as any messages are displayed on *Payments: MCO (M401)* screen. See **Table 4.4-4** for the error and validation messages that may be displayed when the screen is expanded to show sections below the contracts.

**CMS Medicare Advantage Prescription Drug (MARx)**  
 Welcome | Beneficiaries | **Payments** | Reports  
 MCO | Beneficiary | Premiums/Rebates

**Payments: MCO Payments (M402)**      User: XXXX    Role: MCO REPRESENTATIVE    Date: 3/1/2006    [Print](#)    [Help...](#)

Payment Information for Month 3/2006 1-20(of 28)  
 (Click on Contract# to display Payment Summary)

Contract #	PBP #	Segment #	Contract Name	Payments			
				Part A	Part B	Part D	Total
<a href="#">H5555</a>	001	001	LYNX HEALTH PLANS PREMIUM	\$10,260.00	\$9,110.43	\$859.01	\$20,364.44
<a href="#">H5555</a>	001	002	LYNX HEALTH PLANS PREMIUM	\$7,370.22	\$6,245.13	\$791.41	\$14,406.76
<a href="#">H5555</a>	002	001	LYNX HEALTH PLANS BASIC	\$2,177.37	\$1,963.59	\$1,550.99	\$5,691.95
<a href="#">H5555</a>	002	002	LYNX HEALTH PLANS BASIC	\$8,972.98	\$5,562.71	\$2,930.99	\$17,466.68

**Figure 4.4-4. Payments: MCO Payments (M402) Screen for Single Contract and Segment Breakdown (Initial Display, Example 3)**

**STEP 3: Viewing detailed payment information for a selected Plan**

From the *Payments: MCO Payments (M402)* screen, the user should select the contract or contract/PBP to be viewed. If the list does not fit on the screen, finding the contract/PBP may require scrolling through the list using the [screen navigation arrows](#). Select the contract/PBP by clicking on the [Contract #](#) link.

The following information is displayed for the selected contract (and, when applicable, PBP). The information is shown below the summary information by contract.

- Part A, Part B, Part D, and total payments
- Breakdown by health status, separated into Parts A, B, and D, with both the number of members and the payment amounts
- Breakdown by adjustment reason, separated into Parts A, B, and D, with both the number of members and the payment amounts (this section of the screen is only included when there are adjustments)

To see the details section for a selected Plan, see **Figure 4.4-5**. The inputs, outputs, and actions, as well as the error and validation messages, are previously described in **Table 4.4-3** and **Table 4.4-4**, respectively.

CMS
Medicare Advantage Prescription Drug (MARx)

Welcome | [Beneficiaries](#) | [Payments](#) | [Reports](#)

MCO | [Beneficiary](#) | [Premiums/Rebates](#)

**Payments: MCO Payments (M402)**      User: XXXX   Role: MCO REPRESENTATIVE   Date: 3/1/2006   [Print](#)   [Help...](#)

Payment Information for Month 3/2006 1-1(of 1)  
(Click on Contract# to display Payment Summary)

Contract #	Contract Name	Payments			
		Part A	Part B	Part D	Total
<a href="#">H8888</a>	CHAMPION INSURANCE	\$169,042.76	\$149,644.83	\$85,010.45	\$403,698.04

**Payments to plan H8888, CHAMPION INSURANCE, for 3/2006**

Part A :                    \$169,042.76  
Part B :                    \$149,644.83  
Part D :                    \$85,010.45  
Total :                     \$403,698.04

**Current Payments for 3/2006**

Part A	Members	Total Amount	Part B	Members	Total Amount	Part D	Members	Total Amount
Total Payments (\$325.71)	519	\$169,042.76	Total Payments (\$288.33)	519	\$149,644.83	Total Payments (\$163.80)	519	\$85,010.45
Total Hospice	1	\$0.00	Total Hospice	1	\$0.00	Total Hospice	1	\$0.00
Total ESRD	2	\$3,810.46	Total ESRD	2	\$5,922.95	Total ESRD	2	\$12,904.15
Total WA	0	\$0.00	Total WA	0	\$0.00	Total WA	0	\$0.00
Total Institutional	0	\$0.00	Total Institutional	0	\$0.00	Total Institutional	0	\$0.00
Total NHC	0	\$0.00	Total NHC	0	\$0.00	Total NHC	0	\$0.00
Total CHF	0	\$0.00	Total CHF	0	\$0.00	Total CHF	0	\$0.00
Total Medicaid	22	\$9,998.42	Total Medicaid	22	\$7,775.70	Total Medicaid	22	\$5,3120.24
Total Out of Area	4							

**Adjustment Payments for 3/2006**

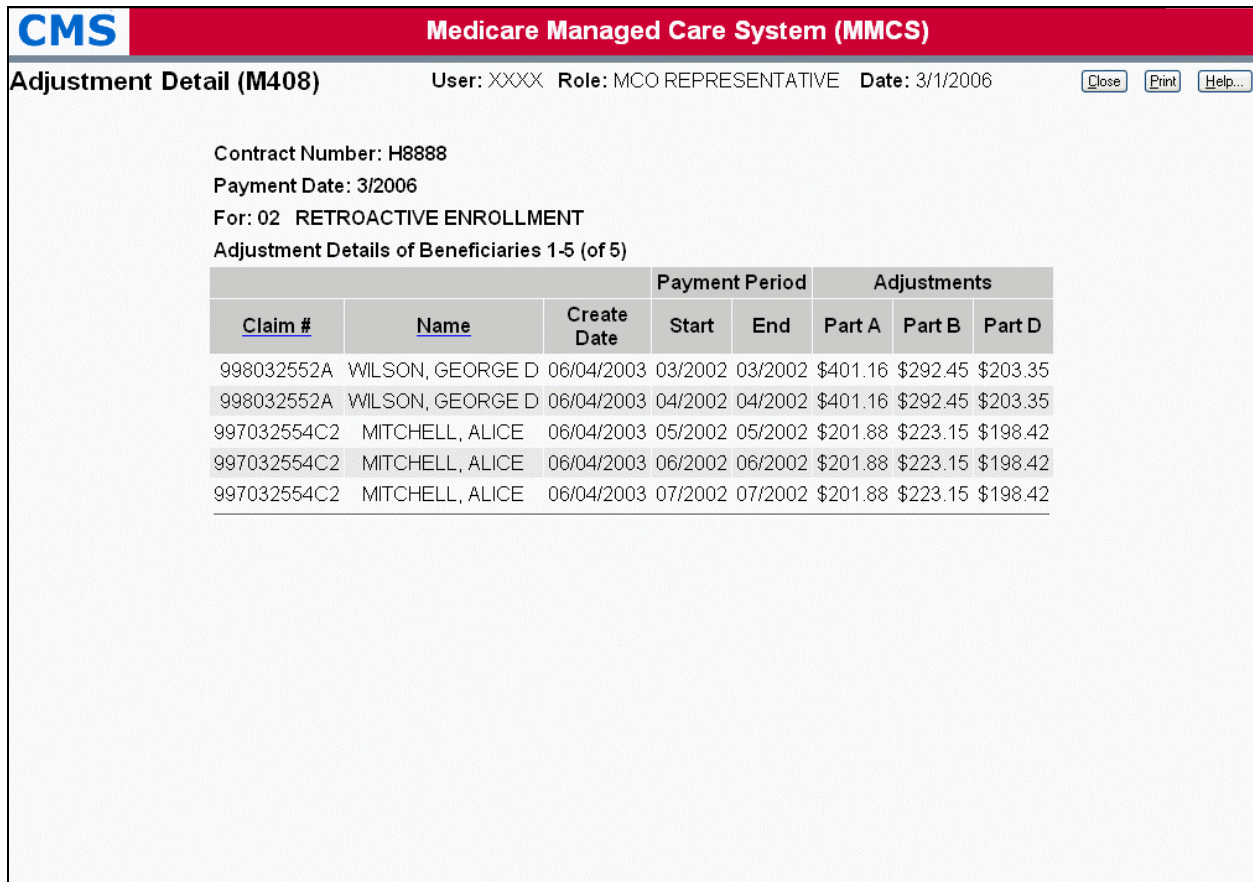
Code	Adjustment Reason	#	Months A	Months B	Months D	Part A	Part B	Part D	Total Amount
<a href="#">02</a>	RETROACTIVE ENROLLMENT	5	8	8	0	\$1,407.96	\$1,254.35	\$1001.96	\$3,664.27
<a href="#">03</a>	RETROACTIVE DISENROLLMENT	9	0	0	0	(\$3,301.63)	(\$2,891.54)	(1,399.50)	(\$7,592.67)
	Total Adjustments	14	8	8	0	(\$1,893.67)	(\$1,637.19)	(\$397.54)	(\$3,928.40)

**Figure 4.4-5. Payments: MCO Payments (M402) Screen with Details for an MCO (Expanded)**

**STEP 4: Viewing adjustment information for a selected Plan**

To see further details about adjustments, click on an adjustment reason [Code](#) link at the bottom of the *Payments: MCO Payments (M402)* screen. The *Adjustment Detail (M408)* screen, as shown in **Figure 4.4-6**, is displayed, listing all adjustments by beneficiary to show how the

adjustment amount was calculated. The screen is described in **Table 4.4-5**, with error and validation messages provided in **Table 4.4-6**.



**Figure 4.4-6. Adjustment Detail (M408) Screen**

**Table 4.4-5. M408 Screen Inputs, Outputs, and Actions**

Item	Type	Description
<a href="#">Claim #</a> column heading	Sorter	Sorts adjustment information by beneficiary claim number.
<a href="#">Name</a> column heading	Sorter	Sorts adjustment information by beneficiary name.
Create Date column	Output	Date when adjustment was created for beneficiary.
Payment Period Start column	Output	Start of period to which adjustment was made for beneficiary.
Payment Period End column	Output	End of period to which adjustment was made for beneficiary.
Adjustments Part A column	Output	Part A adjustment amount for beneficiary.
Adjustments Part B column	Output	Part B adjustment amount for beneficiary.
Adjustments Part D column	Output	Part D adjustment amount for beneficiary.

**Table 4.4-6. M408 Screen Messages**

Message Type	Message Text	Suggested Action
Software or Database Error	No adjustment data for the reason code clicked.	See Appendix B for contact information to report the error.
Software or Database Error	There was a systems problem retrieving your data	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving results from data	See Appendix B for contact information to report the error.
Software or Database Error	Invalid input to stored procedure	See Appendix B for contact information to report the error.
Software or Database Error	Missing input	See Appendix B for contact information to report the error.
Software or Database Error	No records returned from the database	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

#### 4.4.2 Viewing Beneficiary Payment Information

Payments are calculated or recalculated for a beneficiary when there is a change in enrollment, demographics, health status, factors, or other information used in the calculation. When changes are made to payments that have already been paid, adjustments are calculated.

The steps below show how to find these payments and adjustments for a particular beneficiary. After that information is found, the user can view the complete history of payments and adjustments (see Section 4.4.2.1, Viewing Beneficiary Payment History).

##### **STEP 1: Getting to the *Payments: Beneficiary (M403)* screen**

From the MARx main menu, click on the |Payments| menu item. If not already selected, click on the |Beneficiary| submenu item to view the *Payments: Beneficiary (M403)* screen.

##### **STEP 2: Getting a list of beneficiaries**

The *Payments: Beneficiary (M403)* screen is used for entering search criteria, as shown in **Figure 4.4-7** and described in **Table 4.4-7**, with error and validation messages provided in **Table 4.4-8**.

The screenshot shows the 'Payments: Beneficiary (M403)' screen. At the top, there is a CMS logo and the title 'Medicare Advantage Prescription Drug (MARx)'. Below this is a navigation bar with links for 'Welcome | Beneficiaries | Payments | Reports' and 'MCO | Beneficiary | Premiums/Rebates'. The main content area includes the following elements:

- Header: 'Payments: Beneficiary (M403) User: XXXX Role: MCO REPRESENTATIVE Date: 12/1/2006' with 'Print' and 'Help...' buttons.
- Instructions: 'Enter search criteria and click "Find."' (highlighted in yellow).
- Legend: '\*Indicates required field' and '+Indicates at least one of these fields is required'.
- Fields:
  - +Claim # (BIC is Optional) [input box]
  - +Contract #(s) [input box] PBP # [input box]
  - \*For Month/Year [input box]
  - +Last Name [input box]
- Buttons: 'Find' and 'Reset'.

Figure 4.4-7. Payments: Beneficiary (M403) Screen

Table 4.4-7. M403 Screen Inputs, Outputs, and Actions

Item	Type	Description
Claim #	Required data entry field	If entered, find beneficiaries who currently have this claim number. <b>NOTE:</b> The BIC is optional except when an RRB number is entered. <b>NOTE:</b> At least one of Claim #, Contract #, or Last Name is required.
Contract #(s)	Required data entry field	If entered, find beneficiaries enrolled in this contract in a past, current, or future enrollment. <b>NOTE:</b> At least one of Claim #, Contract #, or Last Name is required.
PBP #	Data entry field	If entered, find beneficiaries currently enrolled in this PBP. The PBP is applicable only when a contract number is entered.
For Month/Year	Required data entry field	Find beneficiaries with payments/adjustments in this month. Enter the date in the form (M)M/YYYY.

Item	Type	Description
Last Name	Required data entry field	If entered, find beneficiaries who currently have this last name. At least one other criterion (besides the For Month/Year) must be entered when last name is specified. <b>NOTE:</b> At least one of Claim #, Contract #, or Last Name is required.
[Find]	Button	Click on this button to find the beneficiaries meeting the search criteria with payments/adjustments in the month/year indicated in the For Month/Year field.

**Table 4.4-8. M403 Screen Messages**

Message Type	Message Text	Suggested Action
Missing entry	Month/Year must be entered	Enter the month.
Missing entry	At least one of claim number, contract number, or last name must be entered.	Enter one of the fields.
Invalid format	The claim number is not a valid SSA, RRB, or CMS internal number.	Re-enter the claim number.
Invalid format	A contract number must start with an 'H', '9', 'R', 'S', or 'F' and be followed by 4 characters	Re-enter the contract number.
Invalid format	PBP number must be 3 alpha-numeric characters	Re-enter the PBP.
Invalid format	Month/Year is invalid. Must have format (M)M/YYYY	Re-enter the date in one of the required formats.
Invalid format	The last name contains invalid characters	Re-enter the name using only letters, apostrophes, hyphens, or blanks
Invalid entry	When a PBP is entered, a contract number must also be entered	Enter a contract number.
Invalid entry	Invalid contract/PBP combination	Make sure the PBP is in the contract.
Invalid entry	When last name is entered, additional search criteria (besides For Month/Year) must also be entered	Enter a claim number or contract in addition to or instead of a last name.
Invalid entry	You do not have access rights to this Contract.	First, verify that the contract number was entered correctly. If entered correctly and if the user should have rights to this contract, see the CO Computer Specialist who can update the user's profile to provide access rights.



<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
No data	No payment beneficiary data found for the search criteria.	Verify the information that was entered. If an error was made, re-enter the information.
Software or Database Error	Error occurred validating contract/PBP combination	See Appendix B for contact information to report the error.
Software or Database Error	Invalid results when retrieving beneficiary payment data	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving beneficiary payment data from database.	See Appendix B for contact information to report the error.
Software or Database Error	Missing input.	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database = <error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

The user should enter search criteria to find the beneficiary or beneficiaries and the payment month/year in which the user is interested in viewing, and then click on the [Find] button. The beneficiaries that meet the search criteria and have payments and/or adjustments calculated for that month will then be displayed on the *Payments: Beneficiary Search Results (M404)* screen, as shown in **Figure 4.4-8** and described in **Table 4.4-9**. Because any errors that occur would be reported on the *Payments: Beneficiary (M403)* screen, there are no messages on this screen. When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), two rows for the same month are displayed.

**CMS Medicare Advantage Prescription Drug (MARx)**

Welcome | Beneficiaries | Payments | Reports

MCO | Beneficiary | Premiums/Rebates

**Payments: Beneficiary Search Results (M404)** User: XXXX Role: MCO REPRESENTATIVE Date: 12/1/2006 [Print] [Help...]

Click on History link to view Beneficiary payment history.

Search Criteria: Contract #= H6666 For Month/Year = 12/2006

Beneficiaries 1-20(of 85) Go to Page: 1 [Go] [Navigation icons]

Claim #	Name	Birth Date	Sex	State	County	Contract #	PBP#	Segment#	Payment
997328389A	LOUIS JUDAH	09/14/1935	M	NY	CHAUTAUQUA	H6666	B03	001	<a href="#">History</a>
998026828A	JASON DAVIDSON	10/15/1933	M	NY	NIAGARA	H6666	003	002	<a href="#">History</a>
997283728A	LIAM MICHAELS	09/28/1937	M	FL	SARASOTA	H6666	003	002	<a href="#">History</a>
999103254B	SHEILA ELMAN	04/05/1914	F	PA	BLAIR	H6666	003	001	<a href="#">History</a>
998211032C	LYNN E. MONTBERG	08/30/1915	F	PA	BLAIR	H6666	003	002	<a href="#">History</a>
998213284A	SHARON G. SORASKY	04/11/1917	F	PA	BLAIR	H6666	003	001	<a href="#">History</a>
999881032A	STUART A. SAMSON	02/17/1918	M	PA	BLAIR	H6666	003	004	<a href="#">History</a>
997203259D	IDA C. BECK	01/20/1919	F	PA	BLAIR	H6666	003	004	<a href="#">History</a>
999203339B	CELIA E. ZELMAN	11/28/1918	F	PA	LUZERNE	H6666	003	004	<a href="#">History</a>
998124103B	ETA S. ROLMAN	06/14/1936	F	PA	ALLEGHENY	H6666	003	002	<a href="#">History</a>
997126793A	SCOTT AUSTIN	06/29/1936	M	CA	SAN FRANCISCO	H6666	003	002	<a href="#">History</a>
999338420B	BARRY FARMER	06/24/1953	M	PA	PHILADELPHIA	H6666	B03	001	<a href="#">History</a>
999342237A	HARRY BIMMER	01/24/1925	M	CA	SAN FRANCISCO	H6666	B03	003	<a href="#">History</a>
998034659C1	EILEEN M. COUSINS	06/07/1956	F	CO	EL PASO	H6666	B03	001	<a href="#">History</a>
998469108A	IRVING BARBER	09/24/1962	M	CO	PUEBLO	H6666	B03	003	<a href="#">History</a>
998034824A	ERIN J. DENVER	08/27/1956	F	CO	PUEBLO	H6666	B03	003	<a href="#">History</a>
999038256A	ELLIS L. LITMAN	11/11/1972	M	CO	EL PASO	H6666	B03	001	<a href="#">History</a>
997140616B	MITCHELL S. RADFORD	04/01/1930	M	RI	PROVIDENCE	H6666	B03	001	<a href="#">History</a>
998100369A	LINDA B. EDISON	03/01/1943	F	RI	PROVIDENCE	H6666	003	004	<a href="#">History</a>
999103257A	JERRY C. BRIDGE	05/21/1917	M	NY	QUEENS	H6666	003	002	<a href="#">History</a>

[Navigation icons]

Figure 4.4-8. Payments: Beneficiary Search Results (M404) Screen

Table 4.4-9. M404 Screen Inputs, Outputs, and Actions

Item	Type	Description
<a href="#">Claim #</a> column heading	Sorter	Sorts beneficiaries by their claim numbers.
<a href="#">Name</a> column heading	Sorter	Sorts beneficiaries by their names.
Birth Date column	Output	When beneficiary was born.
Sex column	Output	Sex of beneficiary.
State column	Output	State where beneficiary lived that month.
County column	Output	County where beneficiary lived that month.
Contract # column	Output	Payment is made for enrollment in this contract.
PBP# column	Output	Payment is made for enrollment in this PBP.
Segment# column	Output	Payment is made for enrollment in this segment.
<a href="#">History</a> in the Payment column	Link	Click on a <a href="#">History</a> link to open the <i>Beneficiary Payment History (M406)</i> screen to see payments for the beneficiary up through the month/year indicated in the For Month/Year field.

From this list of beneficiaries, the user can see how the rate calculations were made, investigate how the payments would change if information about the beneficiary changed, and review the payment history, as discussed in the sections below.

#### 4.4.2.1 Viewing Beneficiary Payment History

This section discusses how to view the payment and adjustment history for a beneficiary. From the history, the user can view the details of the payments and adjustments for a particular month.

##### STEP 1: Getting to the Beneficiary Payment History (M406) screen

From the *Payments: Beneficiary Search Results (M404)* screen (see **Figure 4.4-8**), click on the beneficiary's [History](#) link to open the *Beneficiary Payment History (M406)* screen, as shown in **Figure 4.4-9** and described in **Table 4.4-10**, with error and validation messages provided in **Table 4.4-11**. When the beneficiary is enrolled in two contracts (one for Parts A and/or B and the other for Part D), two rows for the same month are displayed.

Claim #:997199598A				LISA D. JOHANNSON				DOB: 04/16/1911									
1125 LAUGHING SNAIL LN KOKOMO, IN 46902-3803								Age: 95 Sex: FEMALE State: IN (15) County: HOWARD (330)									
Beneficiary Payment History (M406)												User: XXXX	Role: MCO REPRESENTATIVE	Date: 12/1/2006	<a href="#">Close</a>	<a href="#">Print</a>	<a href="#">Help...</a>
Payments 1-9(of 9)																	
Payment Date	Contract	PBP#	Seg#	Payments				Adjustments				Total Pay+Adj	Part B Premium Reduction	Regional MA BSF			
				Part A	Part B	Part D	Total Pay	Part A	Part B	Part D	Total Adj						
<a href="#">11/2006</a>	H6666	A01	123	\$0.00	\$0.00	\$0.00	\$0.00	\$86.76	\$39.54	\$0.00	\$126.30	\$126.30	-	\$0.00			
<a href="#">10/2006</a>	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00			
<a href="#">09/2006</a>	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00			
<a href="#">08/2006</a>	H6666	A01	123	\$384.84	\$262.51	\$0.00	\$647.35	\$0.00	\$0.00	\$0.00	\$0.00	\$647.35	-	\$0.00			
<a href="#">07/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00			
<a href="#">06/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00			
<a href="#">05/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00			
<a href="#">04/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$0.00	\$0.00	\$0.00	\$0.00	\$622.35	-	\$0.00			
<a href="#">03/2006</a>	H9999	013	000	\$369.84	\$252.51	\$0.00	\$622.35	\$739.68	\$505.02	\$0.00	\$1,244.70	\$1,867.05	-	\$0.00			

Figure 4.4-9. Beneficiary Payment History (M406) Screen

**Table 4.4-10. M406 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Payment Date column	Output	Indicates when payment/adjustments were paid.
<a href="#">Month/Year</a> in Payment Date column	Link	Click on a <a href="#">month/year</a> link to open the <i>Payment/Adjustment Detail (M215)</i> screen.
Contract column	Output	Contracts for which payments/adjustments were made.
PBP # column	Output	PBPs for which payments/adjustments were made.
Seg # column	Output	Segments for which payments/adjustments were made.
Part A Payments column	Output	Part A payments for the beneficiary by month.
Part B Payments column	Output	Part B payments for the beneficiary by month.
Part D Payments column	Output	Part D payments for the beneficiary by month.
Total Pay column	Output	Totals of Parts A, B, and D payments for the beneficiary by month.
Part A Adjustments column	Output	Part A adjustments for the beneficiary by month.
Part B Adjustments column	Output	Part B adjustments for the beneficiary by month.
Part D Adjustments column	Output	Part D adjustments for the beneficiary by month.
Total Adj column	Output	Totals of Parts A, B, and D adjustments for the beneficiary by month.
Total Pay+Adj column	Output	Payments plus adjustments for the beneficiary by month.
Part B Premium Reduction column	Output	Is checked if a Part B premium (formerly called BIPA) reduction was applied to the payment and/or adjustments for the beneficiary that month.
Regional MA BSF column	Output	Lists the bonus paid from the regional Medicare Advance Bonus Stabilization Fund.

**Table 4.4-11. M406 Screen Messages**

Message Type	Message Text	Suggested Action
Software or Database Error	No payment history records found.	See Appendix B for contact information to report the error.
Software or Database Error	The result set that contains the history data is empty	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving payment history results from database.	See Appendix B for contact information to report the error.
Software or Database Error	Invalid screen ID	See Appendix B for contact information to report the error.
Software or Database Error	Missing input	See Appendix B for contact information to report the error.

Message Type	Message Text	Suggested Action
Software or Database Error	Unexpected error code from database	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

**STEP 2: Understanding the payment history**

The *Beneficiary Payment History (M406)* screen lists the payments and adjustments for the beneficiary, starting with the month selected on the *Payments: Beneficiary (M403)* screen and going back in time. Each entry in the history includes:

- Month in which the payments/adjustments were made
- Enrollment — contract and (as applicable) PBP and segment
- Payments made that month, itemized by Part A, Part B, Part D, and combined
- Adjustments made that month for previous months, itemized by Part A, Part B, Part D, and combined
- Total amount paid in the month
- Indicator of whether a Part B premium reduction was taken
- Payment from the regional Medicare Advantage Benefit Stabilization Fund (MA BSF)

To view a further breakdown of the payments and adjustments, click on the [month/year](#) link to open the *Payment/Adjustment Detail (M215)* screen (see Section 4.3.3.8).

**4.4.3 Viewing Basic Premiums and Rebates**

This section describes how to view the basic premiums and rebates for a contract, contract/PBP, or contract/PBP/segment combination. These are the premiums and rebates that were negotiated with Plans. They are not the premiums and rebates that are calculated for a beneficiary.

**STEP 1: Getting to the *Basic Premiums and Rebates (M409)* screen**

From the MARx main menu, click on the |Payments| menu item. If not already selected, click on the |Premiums/Rebates| submenu item to view the *Basic Premiums and Rebates (M409)* screen, as shown in **Figure 4.4-10** and described in **Table 4.4-12**, with error and validation messages provided in **Table 4.4-13**.

**Figure 4.4-10. Basic Premiums and Rebates (M409) Screen, Before Search Criteria Entered**

**Table 4.4-12. M409 Screen Inputs, Outputs, and Actions**

Item	Type	Description
Date	Required data entry field	Premiums and rebates are effective during this month; enter the date in the form (M)M/YYYY.
Contract	Required data entry field	Premiums and rebates that apply to this contract are displayed.
PBP	Data entry field	If entered, premiums and rebates that apply to this contract and PBP are displayed. Otherwise, the premiums and rebates at the contract level are displayed.
Segment	Data entry field	If entered, premiums and rebates that apply to this contract, PBP, and segment are displayed. Otherwise, the premiums and rebates at the contract or contract/PBP level are displayed.
[Display]	Button	Click on this button to display the premiums and rebates for the contract and, if provided, PBP and segment.
Basic Part C Premium	Output	Part C premium in a Plan's contract.
Basic Part D Premium	Output	Part D premium in a Plan's contract.

<b>Item</b>	<b>Type</b>	<b>Description</b>
Rebate for Part B Premium Reduction	Output	Rebate paid to a Plan for reduction in Part B premium.
Rebate for A/B Cost Sharing	Output	Rebate paid to Plans for Parts A/B cost sharing.
Rebate for A/B Mandatory Supplemental Benefits	Output	Rebate paid to a Plan for providing Parts A/B mandatory supplemental benefits.
Rebate for Basic Part D Premium Reduction	Output	Rebate paid to a Plan for reduction in basic Part D premium.
Rebate for Part D Supplemental Benefits	Output	Rebate paid to a Plan for providing Part D supplemental benefits.

**Table 4.4-13. M409 Screen Messages**

<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
Missing entry	Date must be entered	Enter the date.
Missing entry	A contract number must be entered	Enter a contract number.
Invalid format	Date is invalid. Must have format (M)M/YYYY.	Re-enter the date in one of the required formats.
Invalid format	A contract number must start with an 'H', '9', 'R', 'S', or 'F' and be followed by 4 characters	Re-enter the contract number.
Invalid format	PBP number must be 3 alpha-numeric characters	Re-enter the PBP.
Invalid format	Segment number must be a 3-digit number	Re-enter the segment.
Invalid entry	When a segment is entered, a PBP must be entered also	Make sure to enter a PBP if the user is entering a segment.
Invalid entry	Invalid contract/PBP combination	Make sure the PBP is in the contract.
Invalid entry	Invalid contract/PBP/segment combination	Make sure the PBP is in the contract and the segment is in the PBP.
Invalid entry	You do not have access rights to this Contract.	First, verify that the contract number was entered the correctly. If entered correctly and if the user should have rights to this contract, see the CO Computer Specialist who can update the user's profile to provide access rights.
No data	No basic premiums and rebates were found for this contract	Verify the information that was entered. If an error was made, re-enter the information.
No data	No basic premiums and rebates were found for this contract and PBP	Verify the information that was entered. If an error was made, re-enter the information.

Message Type	Message Text	Suggested Action
No data	No basic premiums and rebates were found for this contract, PBP, and segment	Verify the information that was entered. If an error was made, re-enter the information.
Software or Database Error	Error occurred validating contract/PBP/segment combination	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred retrieving basic premiums and rebates	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

After the criteria are entered, click on the [Display] button to show the premiums and rebates. These premiums and rebates are displayed on the same screen, below the criteria, as shown in **Figure 4.4-11**. The inputs, outputs, and actions, as well as the error and validation messages, are described previously in **Tables 4.4-12** and **4.4-13**, respectively. To view different premiums and rebates, change the search criteria and click on the [Display] button.

**CMS Medicare Advantage Prescription Drug (MARx)**  
 Welcome | Beneficiaries | Payments | Reports  
 MCO | Beneficiary | Basic Premiums

**Payments: Basic Premiums and Rebates (M409)** User: XXXX Role: MCO REPRESENTATIVE Date: 01/12/2006 [Print] [Help...]

Enter search criteria and click "Display."  
 \*Indicates required field

\*Date: 01/12/2006 \*Contract: H0524 PBP: 013 Segment: 100 [Display]

---

Contract #: H0524  
 PBP: 013  
 Segment: 100  
 Basic Part C Premium: \$25.05  
 Basic Part D Premium: \$32.50  
 Rebate for Part B Premium Reduction: \$11.00  
 Rebate for A/B Cost Sharing: \$1.00  
 Rebate for A/B Mandatory Supplemental Benefits: \$2.00  
 Rebate for Part D Basic Premium Reduction: \$3.00  
 Rebate for Part D Supplemental Benefits: \$3.50

**Figure 4.4-11. Basic Premiums and Rebates (M409) Screen, After Search Criteria Entered**



## 4.5 Reports

This section describes how to order copies of reports generated for previous months. The ordered reports will be delivered via Connect:Direct or GENTRAN Refer to *Section 1.6.1, Sending and Receiving Files* for additional information.

There are various types of reports in MARx:

- Month-end reports and data files are scheduled and automatically generated as part of monthly payment processing.
- Weekly reports and data files are scheduled and automatically generated to reflect transactions that were processed that week for a contract.
- Daily (or randomly-occurring) reports and data files are generated each day for events that occurred that day. These events include processing of a batch transaction file or receipt of a report from MBD.

See *Appendix I, Report Files* for a description and sample of each report file.

Note
Only Plan Representative Submitters may order reports from MARx.

### STEP 1: Getting to the *Reports: Find (M601)* screen

From the MARx main menu, click on the |Reports| menu item.

### STEP 2: Getting a list of reports

From the *Reports: Find (M601)* screen, choose the report frequency first—monthly, weekly, or daily—as the selection criteria displayed is affected by the frequency chosen. Enter the selection criteria that characterize the reports being requested. Click on the [Find] button to bring up the *Reports: Search Results (M602)* screen showing all of the reports that meet the criteria.

The *Reports: Find (M601)* screen with selection criteria for monthly reports is shown in **Figure 4.5-1** and described in **Table 4.5-1**, with error and validation messages provided in **Table 4.5-2**.

Figure 4.5-1. Reports: Find (M601) Screen

Table 4.5-1. M601 Screen Inputs, Outputs, and Actions for Monthly and Weekly Reports

Item	Type	Description
Frequency	Required radio button	Select MONTHLY or WEEKLY.
Start Payment Month	Required data entry field	Searches for reports for this payment month through the End Payment Month. Enter as (M)M/YYYY. For monthly reports, defaults to the previous processing month. For weekly reports, defaults to the current processing month.
End Payment Month	Required data entry field	Searches for reports for the Start Payment Month through this payment month. Enter as (M)M/YYYY. For monthly reports, defaults to the previous processing month. For weekly reports, defaults to the current processing month.

Item	Type	Description
File Type	Dropdown list	Click on arrow and select value to narrow search to report or data file. <b>NOTE:</b> When the File Type is selected, the Report/Data File should not be selected. If both are selected, an error message is displayed and the Find does not proceed.
Report/Data File	Dropdown list	Click on arrow and select value to narrow search to type of report or data file. <b>NOTE:</b> When the Report/Data File is selected, the File Type should not be selected. If both are selected, an error message is displayed and the Find does not proceed.
Contract #	Data entry field	Enter to narrow search to a particular contract
[Find]	Button	After the search criteria have been entered, click on this button to display the list of reports.

**Table 4.5-2. M601 Screen Messages for Monthly and Weekly Reports**

Message Type	Message Text	Suggested Action
Missing entry	Start Payment Month must be entered	Enter the month.
Missing entry	End Payment Month must be entered	Enter the month.
Invalid format	Start Payment Month is invalid. Must have format (M)M/YYYY	Re-enter the month in one of the required formats.
Invalid format	End Payment Month is invalid. Must have format (M)M/YYYY	Re-enter the month in one of the required formats.
Invalid format	A contract number must start with an 'H', '9', 'R', 'S', or 'F' and be followed by 4 characters	Re-enter the contract number.
Invalid entry	Cannot specify both file type and report/data file	Deselect one of the selections.
Invalid entry	You do not have access rights to this Contract	First, verify that the contract number was entered the correctly. If entered correctly and if the user should have rights to this contract, see the CO Computer Specialist who can update the user's profile to provide access rights.
No data	No files meet the search criteria	Verify the criteria entered.
Software or Database Error	Error occurred retrieving list of files	See Appendix B for contact information to report the error.
Software or Database Error	Database error occurred finding list of files	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database=<error code>	See Appendix B for contact information to report the error.

<b>Message Type</b>	<b>Message Text</b>	<b>Suggested Action</b>
Software or Database Error	Connection error	See Appendix B for contact information to report the error.

The results list of reports is shown in **Figure 4.5-2** and described in **Table 4.5-3**, with error and validation messages provided in **Table 4.5-4**. From this list, the user can select a report or data file and click the [Order] button. The user will receive a message indicating that the order has been submitted.

**CMS Medicare Advantage Prescription Drug (MARx)**  
 Welcome | Beneficiaries | Payments | Reports  
 Find

**Reports: Search Results (M602)** User: XXXX Role: MCO REPRESENTATIVE TRANSMITTER Date: 1/12/2006 [Print] [Help...]

Select a file before clicking on a button.

Available Files 1-8(of 8) from 09/15/2005 to 10/15/2005

Select	File Name	Requested	Contract	Report/Data File	File Type
<input type="radio"/>	XXXX.@BGD5050.YM200510.D03.HM0933.BATCHSTD	10/03/2005		BATCH COMPLETION STATUS SUMMARY DATA FILE	DATA FILE
<input type="radio"/>	XXXX.@BGD5050.YM200510.D03.HM1129.BATCHSTD	10/03/2005		BATCH COMPLETION STATUS SUMMARY DATA FILE	DATA FILE
<input type="radio"/>	P#MMA.@BGD5050.PLNH1111.YM200509.D30.T1604.C	09/30/2005	H1111	COORDINATION OF BENEFITS DATA FILE	DATA FILE
<input type="radio"/>	P#MMA.@BGD5050.PLNH1111.YM200509.D30.T1604.C	09/30/2005	H1111	COORDINATION OF BENEFITS DATA FILE	DATA FILE
<input type="radio"/>	P#MMA.@BGD5050.PLNH2222.YM200509.D30.T1604.C	09/30/2005	H2222	COORDINATION OF BENEFITS DATA FILE	DATA FILE
<input type="radio"/>	P#MMA.@BGD5050.PLNH2222.YM200509.D30.T1604.C	09/30/2005	H2222	COORDINATION OF BENEFITS DATA FILE	DATA FILE
<input type="radio"/>	P#MMA.@BGD5050.PLNS3333.YM200509.D30.T1604.C	09/30/2005	S3333	COORDINATION OF BENEFITS DATA FILE	DATA FILE
<input type="radio"/>	P#MMA.@BGD5050.PLNS3333.YM200509.D30.T1604.C	09/30/2005	S3333	COORDINATION OF BENEFITS DATA FILE	DATA FILE

[Order]

**Figure 4.5-2. Reports: Search Results (M602) Screen for Monthly and Weekly Reports**

**Table 4.5-3. M602 Screen Inputs, Outputs, and Actions for Monthly and Weekly Reports**

Item	Type	Description
Select column	Radio button	Click on one of the buttons to indicate which file is to be ordered.
<a href="#">File Name</a> column heading	Sorter	Sorts all files by file name.
<a href="#">Payment Month</a> column heading	Sorter	Sorts all files by payment month.
<a href="#">Contract</a> column heading	Sorter	Sorts all files by contract number.
<a href="#">Report/Data File</a> column heading	Sorter	Sorts all files by type of report or data file.
<a href="#">File Type</a> column heading	Sorter	Sorts all files by file type (report or data).
[Order]	Button	After a file has been selected, click on this button to request that the file be placed in the mailbox.

**Table 4.5-4. M602 Screen Messages for Monthly and Weekly Reports**

Message Type	Message Text	Suggested Action
Missing entry	Select a file to order	Find the file to order and click on the file selection radio button next to the file name.
Software or Database Error	Invalid input to database when requesting that the file be ordered	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred requesting that the file be ordered	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database when requesting order of file=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.
Software or Database Error	A security violation has occurred. You do not have access rights to this file.	See Appendix B for contact information to report the error.
Success	Request submitted for order of <file name>.	No action required.

### Weekly Reports

Weekly reports are accessed the same way as monthly reports. Note the selection criteria require the payment month, not the report generation month. The *Reports: Find (M601)* screen is the same as shown in **Figure 4.5-1** (except that the WEEKLY frequency is selected) and it is described in **Table 4.5-1**, with error and validation messages provided in **Table 4.5-2**. The results list of weekly reports is similar to **Figure 4.5-2** (except that the report/data files names are different) and described in **Table 4.5-3**, with error and validation messages provided in **Table 4.5-4**.

### Special TRRs

Special TRRs are accessed like the weekly reports. Set the report frequency to WEEKLY and enter a date range that covers the payment month when the special TRR was run. The special TRR will appear in the list of reports on the *Reports: Search Results (M602)* screen.

### Daily Reports

The *Reports: Find (601)* screen with selection criteria for daily reports is shown in **Figure 4.5-3** and described in **Table 4.5-5**, with error and validation messages provided in **Table 4.5-6**.

Figure 4.5-3. Reports: Find (M601) Screen for Daily Reports

Table 4.5-5. M601 Screen Inputs, Outputs, and Actions for Daily Reports

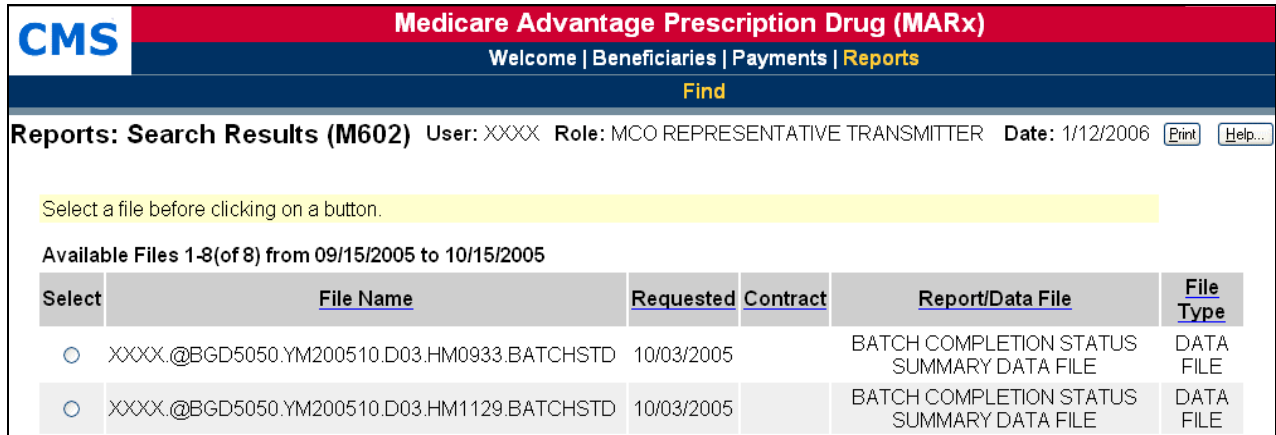
Item	Type	Description
Frequency	Required radio button	Select DAILY.
Start Request Date	Required data entry field	Searches for reports generated on or after this date. Enter as (M)M/(D)D/YYYY. Defaults to current date.
End Request Date	Required data entry field	Searches for reports generated on or before this date. Enter as (M)M/(D)D/YYYY. Defaults to current date.
Report/Data File	Required dropdown list	Click on arrow and select value to narrow search to type of report or data file.
Contract #	Data entry field	Enter to narrow search to a particular contract.
[Find]	Button	After the search criteria have been entered, click on this button to display the list of reports.

**Table 4.5-6. M601 Screen Messages for Daily Reports**

Message Type	Message Text	Suggested Action
Missing entry	Start Request Date must be entered	Enter the date.
Missing entry	End Request Date must be entered	Enter the date.
Missing entry	A report or data file must be selected	Select the type of report or data file to be ordered.
Invalid format	Start Request Date is invalid. Must have format (M)M/(D)D/YYYY	Re-enter the date in one of the required formats.
Invalid format	End Request Date is invalid. Must have format (M)M/(D)D/YYYY	Re-enter the date in one of the required formats.
Invalid format	A contract number must start with an 'H', '9', 'R', 'S', or 'F' and be followed by 4 characters	Re-enter the contract number.
Invalid data	Cannot specify both file type and report/data file	Deselect one of the selections.
Invalid entry	You do not have access rights to this Contract	First, verify that the contract number was entered correctly. If entered correctly and if the user should have rights to this contract, see the CO Computer Specialist who can update the user's profile to provide access rights.
No data	No files meet the search criteria	Verify the criteria entered.
Software or Database Error	Error occurred retrieving list of files	See Appendix B for contact information to report the error.
Software or Database Error	Database error occurred finding list of files	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.



The results list of daily reports is shown in **Figure 4.5-4** and described in **Table 4.5-7**, with error and validation messages provided in **Table 4.5-8**. From this list, the user can select a report or data file and click the [Order] button. The user will receive a message indicating that the order has been submitted.



**Figure 4.5-4. Reports: Search Results (M602) Screen for Daily Reports**

**Table 4.5-7. M602 Screen Inputs, Outputs, and Actions for Daily Reports**

Item	Type	Description
Select column	Radio button	Click on one of the buttons to indicate which file is to be ordered.
<a href="#">File Name</a> column heading	Sorter	Sorts all files by file name.
<a href="#">Requested</a> column heading	Sorter	Sorts all files by date the file was requested.
<a href="#">Contract</a> column heading	Sorter	Sorts all files by contract number.
<a href="#">Report/Data File</a> column heading	Sorter	Sorts all files by type of report or data file.
<a href="#">File Type</a> column heading	Sorter	Sorts all files by file type (report or data).
[Order]	Button	After a file has been selected, click on this button to request that the file be placed in the mailbox.

**Table 4.5-8. M602 Screen Messages for Daily Reports**

Message Type	Message Text	Suggested Action
Missing entry	Select a file to order	Find the file to order and click on the file selection radio button next to the file name.
Software or Database Error	Invalid input to database when requesting that the file be ordered	See Appendix B for contact information to report the error.
Software or Database Error	Error occurred requesting that the file be ordered	See Appendix B for contact information to report the error.
Software or Database Error	Unexpected error code from database when requesting order of file=<error code>	See Appendix B for contact information to report the error.
Software or Database Error	Connection error	See Appendix B for contact information to report the error.
Software or Database Error	A security violation has occurred. You do not have access rights to this file.	See Appendix B for contact information to report the error.
Success	Request submitted for order of <file name>.	No action required.

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## ***5: Accessing the CMS Systems for Eligibility Verification***

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The CMS Systems for Eligibility Verification is comprised of two main applications that will streamline and facilitate the beneficiary eligibility determination – The BEQ and the Medicare Beneficiary Database User Interface (MBD-UI).

The BEQ is a specific query service within the MBD services that will be provided to the Plans.

The BEQ provides a vehicle for all Plans, regardless of type or size, to submit batches of individuals for timely prescription drug program eligibility determination.

The MBD-UI is a centralized application that allows users to view beneficiary information. The MBD-UI at its core is the centralized database that is able to communicate with other systems to exchange, manage, and update beneficiary information. The MBD database is the authoritative source of beneficiary information.

## **5.1 Batch Eligibility Query (BEQ) Request File (From Plan to CMS)**

### **5.1.1 Batch Eligibility Query (BEQ) Request Instructions**

Plans may submit one BEQ (Batch Eligibility Query) Request File to CMS during any CMS business day (*Monday thru Friday*) via Connect:Direct (NDM) or the Sterling Electronic Mailbox (GENTRAN). There is no minimum or maximum limit to the number of BEQ Request Transactions within the submitted file. Each Detail Record of a BEQ Request File will be considered a BEQ "Transaction."

If a Plan submits more than one BEQ file in a day, the first file received will be processed overnight but subsequent files received may or may not be processed overnight, depending upon available computer resources. BEQ files received and not processed overnight will be processed the following night.

The BEQ Request Files should comply with the record formats and field definitions described in the BEQ Request File / Record Formats (see *Appendix E, Record Layouts*). The BEQ Request Files should be in flat file structure and conform to CMS naming conventions as described in *Appendix J, All Transmissions Overview*. Detailed BEQ Error Code Tables are included in *Appendix H, Codes*.

The MBD will recognize BEQ Request Files by the information supplied in the Header and Trailer Records. Header Record information is considered critical as it will be used by CMS to track, control, formulate, and route files and transactions through the MBD process. Information will also communicate responses back to the Plans.

Each transaction (Detail Records) on the BEQ Request File should identify a prospective or current Plan enrollee. Plans should not submit transactions for individuals who have not requested consideration for enrollment.

Plans should use the naming standards outlined in *Section 2, Establishing Communications with CMS*, and *Appendix J, All Transmissions Overview*, for a BEQ Request file.

For Connect:Direct (NDM) users, refer to the naming conventions outlined in *Section 2, Establishing Communications with CMS*, and *Appendix J, All Transmissions Overview*.

CMS will generate one BEQ Response File for a Plan during a regular business day. This BEQ Response File will include BEQ Request transactions (Detail Records) processed by CMS for the Plan during that regular business day. It should be noted that:

- The BEQ Response File received by a Plan may not include all BEQ Request Transactions provided to CMS during that regular business day;
- The BEQ Response File received by a Plan may include BEQ Request Transactions provided to CMS during the previous regular business day; and
- Any BEQ Request transactions that have not been provided on the BEQ Response file will appear in the subsequent BEQ Response File for the following regular business day.

For example, if a Plan submits one BEQ Request File within one day, it is possible that the transactions (Detail Records) returned in the BEQ Response File will be for only a portion of the BEQ Request File submitted. In addition, the transactions (Detail Records) absent from the BEQ Response File may be related to a BEQ Request File submitted by the Plan during the previous CMS business day. The "Detail Record Sequence Number" located in each transaction (Detail Record) can be used by the Plan to track individual transactions sent to and received from CMS.

## **5.2 Batch Eligibility Query (BEQ) Response File (From CMS to Plans)**

### **5.2.1 Batch Eligibility Query (BEQ) Response Process**

CMS will analyze a received BEQ Request File to determine if the BEQ Request file can be accepted or if it must be rejected. The transactions (Detail Records) of an accepted BEQ File will be processed and a BEQ Response File will be created as a result. If a BEQ Request File is rejected, then a BEQ Response File will not be generated.

The MBD will determine if a BEQ Request File shall be accepted or rejected based upon the Request File Error Conditions, as documented in *Appendix H.6.2, Request Transaction (Detail Record) Error Conditions*. Upon determining if a BEQ Request File is to be accepted or rejected, the MBD will generate an email acknowledgement of receipt indicating one of the following outcomes:

- If the BEQ Request File has been accepted, the email notification shall inform the Plan that the specific BEQ Request File has been accepted and shall be processed.
- If the BEQ Request File has been rejected, the email notification shall inform the Plan of the first File Error Condition that had caused the BEQ Request File to be rejected. A rejected file will not be returned.

This email acknowledgement/notification will be issued to all submitters for the Sending Entity contract.

CMS shall process all transactions (Detail Records) of an Accepted BEQ Request File. Each transaction shall be uniquely identified and tracked throughout the CMS processing service by the combination of the Contract ID of the Plan (Sending Entity), File Control Number, File Creation Date, and Detail Record Sequence Number as provided by the Plan on the BEQ Request File. Each Detail Record of the BEQ Response File maintains these four critical fields.

When CMS processes a transaction, CMS first verifies that all critical data is provided and valid on the record (See *Appendix E, Batch Eligibility Query (BEQ) Request File / Record Formats*). CMS then attempts to perform a Beneficiary Match, in which the beneficiary identifying fields on the transaction are utilized to locate a single beneficiary on the MBD and verify Medicare entitlement.

- If all critical data elements are not provided, subsequent processing will be terminated for that transaction including any attempt to locate (perform match) the beneficiary on the MBD (i.e., verify Medicare entitlement). The Processed Flag in the BEQ Response Detail Record will be set to “N” and the Beneficiary Match Flag will have a space. All error return codes will be assigned the appropriate values (see *Appendix H.6.2, Request Transaction (Detail Record) Error Conditions*).
- If all critical data elements are provided, CMS will then attempt to perform a Beneficiary Match, in which the beneficiary identifying fields on the transaction are utilized to locate a single beneficiary on the MBD and verify Medicare entitlement.
- If a beneficiary match is found, the Beneficiary Match Flag in the BEQ Response (Detail) Record will be set to “Y”. All Error Return Codes will be assigned the appropriate values (see *Appendix H.6.2, Request Transaction (Detail Record) Error Conditions*). The Processing Flag will be set to the value "Y."
- If the beneficiary is not matched, the Beneficiary Match Flag will be set to “N.” All Error Return Codes will be assigned the appropriate values (see *Appendix H.6.2, Request Transaction (Detail Record) Error Conditions*). The Processing Flag will be set to the value "N."

If CMS **successfully locates** the beneficiary on the database tables, then CMS will perform the following steps.

- Create a Detail Record to be returned to the Plan in a BEQ Response File as specified in *Appendix E.24, BEQ Response File (From CMS to Plans)*.
- Assign values to the Match Flag fields as defined in *Appendix E, Record Layouts*.
- Populate the additional eligibility query fields of the Response File Detail Record with MBD data for the beneficiary.

If CMS is **unsuccessful in locating** the beneficiary on the database tables or the BEQ Request File Transaction contains one or more critical errors (e.g., a critical field is invalid), then CMS will perform the following steps.

- Create a Detail Record to be returned to the Sending Entity in a BEQ Response File as specified in *Appendix E.24, BEQ Response File (From CMS to Plans)*.
- Assign values to the Match Flag fields as defined in *Appendix E, Record Layouts*.
- Not populate the additional eligibility query fields of the Response File Detail Record with MBD data for the beneficiary.

The BEQ Response File will be issued to the Plan in the same transmission mechanism that the Plan had utilized to deliver the BEQ Request file to CMS. This mechanism is either through the Sterling Mailbox (GENTRAN) or through NDM (Connect:Direct).

The BEQ Response File will conform to the file naming conventions outlined in *Section 2, Establishing Communications with CMS*, and *Appendix J, All Transmissions Overview*.



## **5.3 MBD User Interface**

### **5.3.1 Introduction**

The MBD UI application is comprised of various system interfaces that will streamline and facilitate the beneficiary eligibility determination and enrollment process. The MBD UI is installed in a secured environment at the CMS Data Center (CDC) on their modernization project's application and data zones mid-tier Sun Solaris systems.

CMS authorized users will be able to initiate a beneficiary data request by submitting the request with an HICN. The users will receive responses to their requests and the details are visible in the MBD UI, if the beneficiary data exists.

### **5.3.2 Purpose**

This section provides a comprehensive system description, enabling users to navigate and utilize the MBD UI application to its full extent.

The principal users of the MBD UI application include CMS personnel from central and regional offices, Medicare Customer Service Centers (MCSC), MA Plans, MA-PDs, and PDPs.

### **5.3.3 User Access to CMS Website**

- The User will access the MBD UI through the CMS Application Portal from the applications.cms.hhs.gov website.
- The User will be required to enter a **User Name** and **Password** in order to access the application.

### **5.3.4 Display Inquiry**

- To initiate a request, a **HICN** in **RRB** or **SSA** format shall be entered in the HICN field of the Beneficiary Profile Inquiry screen.
- An Online **Help** screen shall be available and provide a link to an online User Manual.
- MBD UI shall have a link available to the site map with the screen names.

### **5.3.5 Validate Inquiry Request**

- When the request is submitted, the system shall determine that a HICN in RRB or SSA format has been entered.
- When a Beneficiary Profile Inquiry request is initiated without entering a HICN, MBD UI shall prompt with a "**HICN required**" message.

- When a Beneficiary Profile Inquiry request is initiated with a HICN less than 6 characters in length, the User shall receive an error message indicating an “**Invalid HICN has been entered.**”
- The User shall not be able to enter a HICN that is greater than 12 characters in length.

### 5.3.6 Display Response

- The requested HICN is displayed as entered in a separate and protected HICN field on the MBD UI screen.
- The following business rules are followed when a Plan user submits a beneficiary inquiry.

**Plan Member (PLM)** – This role is used when the requested HICN belongs to a beneficiary that is currently enrolled in the User's Plan. On the enrollment information, the user is only allowed to view enrollments that match their user profile defined during the Self-Registration process (IACS), with the exception of FFS enrollments.

**PDP Role (PDP)** – This role is used when **all** the contracts defined in the user profile defined during the Self-Registration process (IACS) are stand-alone PDPs. If the user has a mix of contracts in their profile (MA-PDs & PDPs), then the MBD-UI will use the PLM Role. On the enrollment information, the user is only allowed to view enrollments that match their user profile defined during the Self-Registration process (IACS), with the exception of FFS enrollments.

**Plan Non-Member (PLN)** – This role is used when the requested HICN belongs to a beneficiary that is NOT currently or have never been enrolled in the User's Plan. On the enrollment information, the user is only allowed to view enrollments that match their user profile defined during the Self-Registration process (IACS), with the exception of FFS enrollments. If the beneficiary was never enrolled on any of the user's Plans, only FFS enrollments will be viewable.

**Central Office Inquiry (COI)** – This is a specialized role reserved for the Point-of-Sale (POS) Contractor only. Under this role, the user has the authority to view almost every available data element on the MBD-UI.”

- When the user is not authorized to view the beneficiary data, the field will be **unreadable**.
- MBD UI displays a field as blank when there is no beneficiary data in that field.
- MBD UI displays a **RRB HICN** in the converted **SSA** format.

- MBD UI displays a warning message and the response received when any of the following conditions are encountered:
  - a. Cross-reference lookup when an inactive HICN is entered.
  - b. Equitable BIC lookup when an inactive HICN is entered.
  - c. No HICN found when a HICN in the SSA format is entered.
- Once MBD UI has displayed the requested data, the cursor will be positioned in the HICN field to enable the User to enter a new HICN for another Beneficiary Profile Inquiry.
- The User will have the ability to print from any screens.
- MBD UI will not allow the User to update any of the data fields.

### **5.3.7 Data Retrieval**

The following functions are performed for each inquiry request:

- Convert a valid identified RRB HICN to the SSA format.
- Cross-reference lookup when an inactive HICN is entered.
- Equitable BIC lookup when an inactive HICN is entered.

The following table provides a listing of all the data elements available for each of the roles on the Internet MBD UI (“Y” indicates role is authorized to view the data element):

**Table 5.3-1 MBD Role Based Security**

<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
<b>Beneficiary Profile</b>				
Health Insurance Claim Number (HICN)	Y	Y	Y	Y
XREF Health Insurance Claim Number	Y	Y	Y	Y
XREF Type (Kill Credit Code)	Y	Y	Y	Y
Social Security Number (SSN)			Y	
Social Security Number (SSN) History			Y	
Birth Date	Y	Y	Y	Y
Sex Code	Y	Y	Y	Y
Source Sex Code			Y	
First Name	Y	Y	Y	Y
Middle Initial	Y	Y	Y	Y
Last Name	Y	Y	Y	Y
Last Name History			Y	
Last Name Source Name Code			Y	
Death Date	Y	Y	Y	Y
Source Death Date Code			Y	
Death Date Proof Code			Y	
Verify Beneficiary Death Day Indicator			Y	
Beneficiary Resides with Representative Payee Indicator	Y		Y	Y
Representative Payee Switch			Y	
Representative Payee Name	Y		Y	Y
<b>Beneficiary Address Information</b>				
Mailing Address and Zip Code	Y		Y	Y
Mailing Address Start Date	Y		Y	Y
Mailing Address End Date	Y		Y	Y
Mailing Foreign Address Consular Code	Y		Y	Y
Mailing Address Source Code	Y		Y	Y
Beneficiary Residence Street Address & Zip	Y		Y	Y
Beneficiary Residence Address Consular Code	Y		Y	Y
Beneficiary Residence Start Date	Y		Y	Y
Beneficiary Residence End Date	Y		Y	Y
Residence Address Source Code	Y		Y	Y

<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
<b>Beneficiary State County (SCC) Information</b>				
Beneficiary SCC Start Date	Y		Y	Y
Beneficiary SCC End Date	Y		Y	Y
Beneficiary FIPS State Code	Y		Y	Y
Beneficiary FIPS County Code	Y		Y	Y
Beneficiary SSA Standard State Code	Y		Y	Y
Beneficiary SSA Standard County Code	Y		Y	Y
SCC Audit Indicator			Y	
SCC Start Source			Y	
SCC Start Timestamp			Y	
SCC End Source			Y	
SCC End Timestamp			Y	
SCC Audit Source			Y	
SCC Audit Timestamp			Y	
SCC History			Y	
<b>Beneficiary Communication Profile</b>				
Beneficiary Electronic Funds Transfer Address			Y	
Survey/Sample Participation Indicator			Y	
Survey/Sample Cumulative Total			Y	
Telephone			Y	
E-Mail Address			Y	
Fax Telephone Number			Y	
Language Preference Code			Y	
Language Preference Source Code			Y	
Media Preference Code			Y	
<b>Medicare Handbook Information</b>				
Correspondence Type			Y	
Language Preference Code			Y	
Language Preference Source Code			Y	
Media Preference Code			Y	
<b>Rep Payee Communication Profile</b>				
Beneficiary Electronic Funds Transfer Address			Y	
Survey/Sample Participation Indicator			Y	
Survey/Sample Cumulative Total			Y	
Telephone			Y	
E-Mail Address			Y	
Fax Telephone Number			Y	

<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
Language Preference Code			Y	
Language Preference Source Code			Y	
Media Preference Code			Y	
Communication Exception: Correspondence Type			Y	
Communication Exception: Language Preference Code			Y	
Communication Exception: Language Preference Source Code			Y	
Communication Exception: Media Preference Code			Y	
<b>Miscellaneous Beneficiary Information</b>				
Beneficiary SSA Benefit Payment Status Code			Y	
Last HI Card Request Date			Y	
Medicare Qualified Government Employee Code (MQGE)			Y	
Beneficiary Combined U.S. Foreign Earning Code			Y	
Beneficiary Program Service Center (PSC) Code			Y	
CWF Host Site	Y		Y	
MBD Accretion Date			Y	
MBD Update Timestamp			Y	
EDB Last Update			Y	
Incarceration Effective Date			Y	
Incarceration Termination Date			Y	
Not Lawful U.S. Presence Effective Date			Y	
Not Lawful U.S. Presence Termination Date			Y	
Deportation Effective Date			Y	
Deportation Termination Date			Y	
Record Add Timestamp			Y	
Record Update Timestamp			Y	
<b>Entitlement Information</b>				
Part A Entitlement Effective Date	Y	Y	Y	Y
Part A Entitlement Termination Date	Y	Y	Y	Y
Part A Entitlement Status Code	Y		Y	Y
Beneficiary Part A Enrollment Reason Code	Y	Y	Y	Y
Part B Entitlement Effective Date	Y	Y	Y	Y
Part B Entitlement Termination Date	Y	Y	Y	Y
Part B Entitlement Status Code	Y		Y	Y
Beneficiary Part B Enrollment Reason Code	Y	Y	Y	Y
Part A Non Entitlement Reason Code	Y	Y	Y	Y
Part B Non Entitlement Reason Code	Y	Y	Y	Y
Entitlement Source Code	Y		Y	Y

<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
Start Create Timestamp			Y	
Start Source			Y	
End Create Timestamp			Y	
End Source			Y	
Audit Create Timestamp			Y	
Audit Source			Y	
<b>MCO Beneficiary Service Delivery Elections (Enrollments)</b>				
Contract Number	Y	Y	Y	Y
Contract Type Code	Y	Y	Y	Y
Enrollment Effective Date	Y	Y	Y	Y
Disenrollment Effective Date	Y	Y	Y	Y
Disenrollment Reason	Y	Y	Y	Y
Signature Date	Y	Y		Y
CCP Prior Commercial Months	Y		Y	
Employer Group Health Plan Switch	Y		Y	
Audit Indicator	Y	Y	Y	Y
Start Create Timestamp			Y	
Start Source			Y	
End Create Timestamp			Y	
End Source			Y	
Audit Create Timestamp			Y	
Audit Source			Y	
<b>Plan Benefit Package PBP Periods</b>				
PBP ID	Y	Y	Y	Y
PBP Start Date	Y	Y	Y	Y
PBP End Date	Y	Y	Y	Y
PBP Signature Date	Y	Y	Y	Y
PBP Audit Indicator	Y	Y	Y	Y
PBP Part B Premium Reduction Indicator	Y	Y	Y	
Audit Indicator	Y	Y	Y	Y
PBP Disenrollment Reason Code	Y	Y	Y	Y
PBP Out of Service Area	Y	Y	Y	Y
Start Create Timestamp			Y	
Start Source			Y	
End Create Timestamp			Y	
End Source			Y	
Audit Create Timestamp			Y	

<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
Group Health Plan Switch	Y		Y	
Audit Source			Y	
<b>Contract Data</b>				
Payment Bill Option	Y	Y	Y	Y
Bill Option Code	Y	Y	Y	Y
Pay Bill Start Date	Y	Y	Y	Y
Pay Bill End Date	Y	Y	Y	Y
MCO Name			Y	
MCO Address Line 1			Y	
MCO Address Line 2			Y	
MCO City Name			Y	
MCO State Code			Y	
MCO Zip Code			Y	
Address Scrub Switch			Y	
<b>Fee-For-Service Beneficiary Service Delivery Elections</b>				
FFS Period Effective Date	Y	Y	Y	Y
FFS Period Termination Date	Y	Y	Y	Y
<b>Hospice Detail Information</b>				
Hospice Period Effective Date	Y		Y	Y
Hospice Period Termination Date	Y		Y	Y
Record Add Timestamp			Y	
Hospice Provider Number			Y	
Hospice Revocation Code			Y	
<b>ESRD Detail Information</b>				
ESRD Coverage Effective Date	Y		Y	
ESRD Coverage Termination date	Y		Y	
ESRD Coverage Start Source Code	Y		Y	
ESRD Coverage Termination Reason	Y		Y	
Coverage Record Add Timestamp				
ESRD Dialysis Effective Date	Y		Y	
ESRD Dialysis Termination Date	Y		Y	
Dialysis Record Add Timestamp				
ESRD Self-Care Training Date	Y		Y	
Training Record Add Timestamp				
ESRD Transplant Effective Date	Y		Y	
ESRD Transplant Fail Date	Y		Y	
Transplant Record Add Timestamp				



<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
<b>Managed Care Institutional Status Information</b>				
MCO Nursing Home Certifiable Effective Date	Y		Y	
MCO Nursing Home Certifiable Termination Date	Y		Y	
MCO Nursing Home Certifiable Audit Indicator	Y		Y	
Start Create Timestamp				
Start Source				
End Create Timestamp				
End Source				
Audit Create Timestamp				
Audit Source				
MCO Institutional Status Effective Date	Y		Y	
MCO Institutional Status Termination Date	Y		Y	
MCO Institutional Status Audit Indicator	Y		Y	
Audit Indicator	Y		Y	
Start Create Timestamp				
Start Source				
End Create Timestamp				
End Source				
Audit Create Timestamp				
Audit Source				
<b>MCO Medicaid Information</b>				
Medicaid Effective Date	Y		Y	
Medicaid Termination Date	Y		Y	
Medicaid Audit Indicator	Y		Y	
Medicaid Source Code	Y		Y	
Start Create Timestamp				
Start Source				
End Create Timestamp				
End Source				
Audit Create Timestamp				
Audit Source				
<b>MSIS Data</b>				
Fiscal Year			Y	
Quarter Number			Y	
Days of Eligibility			Y	
State Code			Y	
Dual Eligible Code			Y	
Maintenance Assistance Status (MAS) Code			Y	

<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
Basis of Eligibility (BOE) Code			Y	
<b>Third Party Data</b>				
Third Party Type Code (Part A or B)			Y	
Third Party Start Date			Y	
Third Party Termination Date			Y	
Third Party Premium Payer Code			Y	
Third Party Source Code			Y	
<b>Other Insurance (MSP) Data</b>				
Medical Coverage Type Code	Y		Y	
Effective Date	Y		Y	
Termination Date	Y		Y	
Primary Insurance Code	Y		Y	
MSP Source Code	Y		Y	
Record Add Timestamp			Y	
Policy Number			Y	
Insurer name	Y		Y	
Insurer Line 1 Address	Y		Y	
Insurer Line 2 Address	Y		Y	
Insurer City name	Y		Y	
Insurer State Code	Y		Y	
Insurer Zip Code	Y		Y	
Cob Contractor Number	Y		Y	
Address Scrub Switch			Y	
<b>Benefit Period/Deductible Information</b>				
Lifetime Reserve Days	Y		Y	
Lifetime Psychiatric Days Remaining Count	Y		Y	
PAP Technical Date			Y	
PAP Professional Date			Y	
Pneumococcal Pneumonia Vaccination Date			Y	
ESRD Method Code			Y	
ESRD Method Effective Date			Y	
Transplant Discharge Date			Y	
Part A Spell Earliest Billing Date	Y		Y	
Part A Spell Latest Billing Date	Y		Y	
Part A Spell Inpatient Deductible Amount	Y		Y	
Part A Spell Full Days Remaining Count	Y		Y	
Part A Spell Coinsurance Days Remaining Count	Y		Y	
Record Add Timestamp			Y	

<b>MBD Role Based Security</b>				
<b>MBD Data Elements</b>	<b>Plan Member</b>	<b>Plan Non-Member</b>	<b>Central Office Inquiry</b>	<b>Stand-Alone PDP</b>
Record Update Timestamp			Y	
Part B calendar Year			Y	
Part B Calendar year Deductible Remaining Amount			Y	
Record Add Timestamp			Y	
Record Update Timestamp			Y	
Screening Date			Y	
Screening Type Code			Y	
Screening Risk Indicator Code			Y	
Screening HCFA Common procedure Code			Y	
Record Add Timestamp			Y	
Record Update Timestamp			Y	
<b>Home Health Information</b>				
Home health Earliest Bill Date	Y		Y	
Home Health Start Date	Y		Y	
Home Health End Date	Y		Y	
Home Health Latest Bill Date	Y		Y	
Home Health Contractor Number	Y		Y	
Home Health Patient Status Code	Y		Y	
Home Health Provider Number	Y		Y	
Record Add Timestamp			Y	
Record Update Timestamp			Y	
<b>Part D</b>				
Enrollment Type	Y	Y	Y	Y
Part D Payment Flag	Y	Y	Y	Y
Part D Rx BIN Number	Y	Y	Y	Y
Part D Rx ID Number	Y	Y	Y	Y
Part D Rx Group Number	Y	Y	Y	Y
Part D Rx PCN	Y	Y	Y	Y
Employer Subsidy Override Flag	Y	Y	Y	Y

## 5.4 MBD UI Screenshots

Prior to accessing the MBD UI, the User has to go to <https://applications.cms.hhs.gov> and enter the CMS Application Portal.

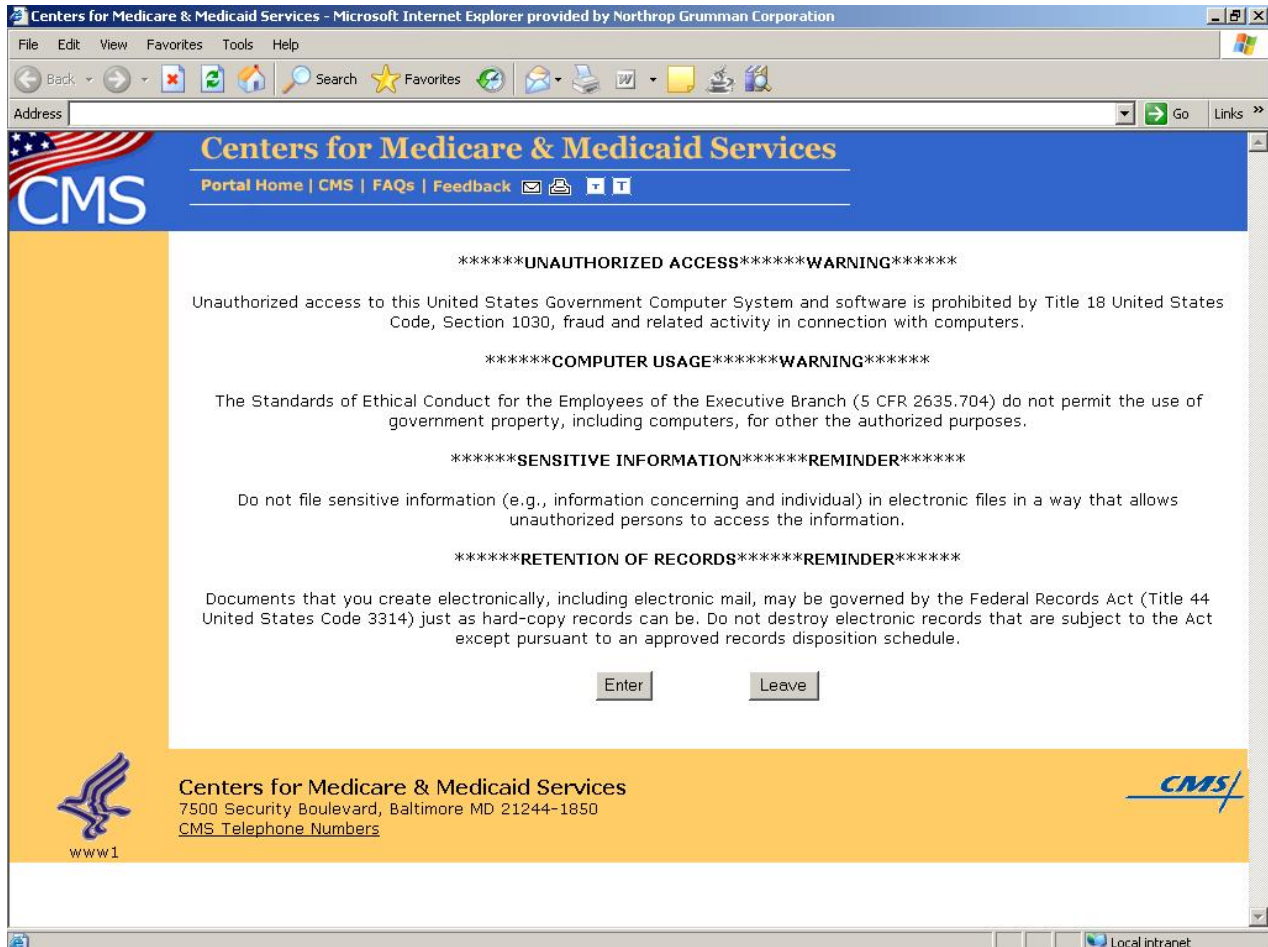


Figure 5.4-1. Screenshot: CMS Website

After clicking on Plans link, the User will be able to select MBD UI Application.

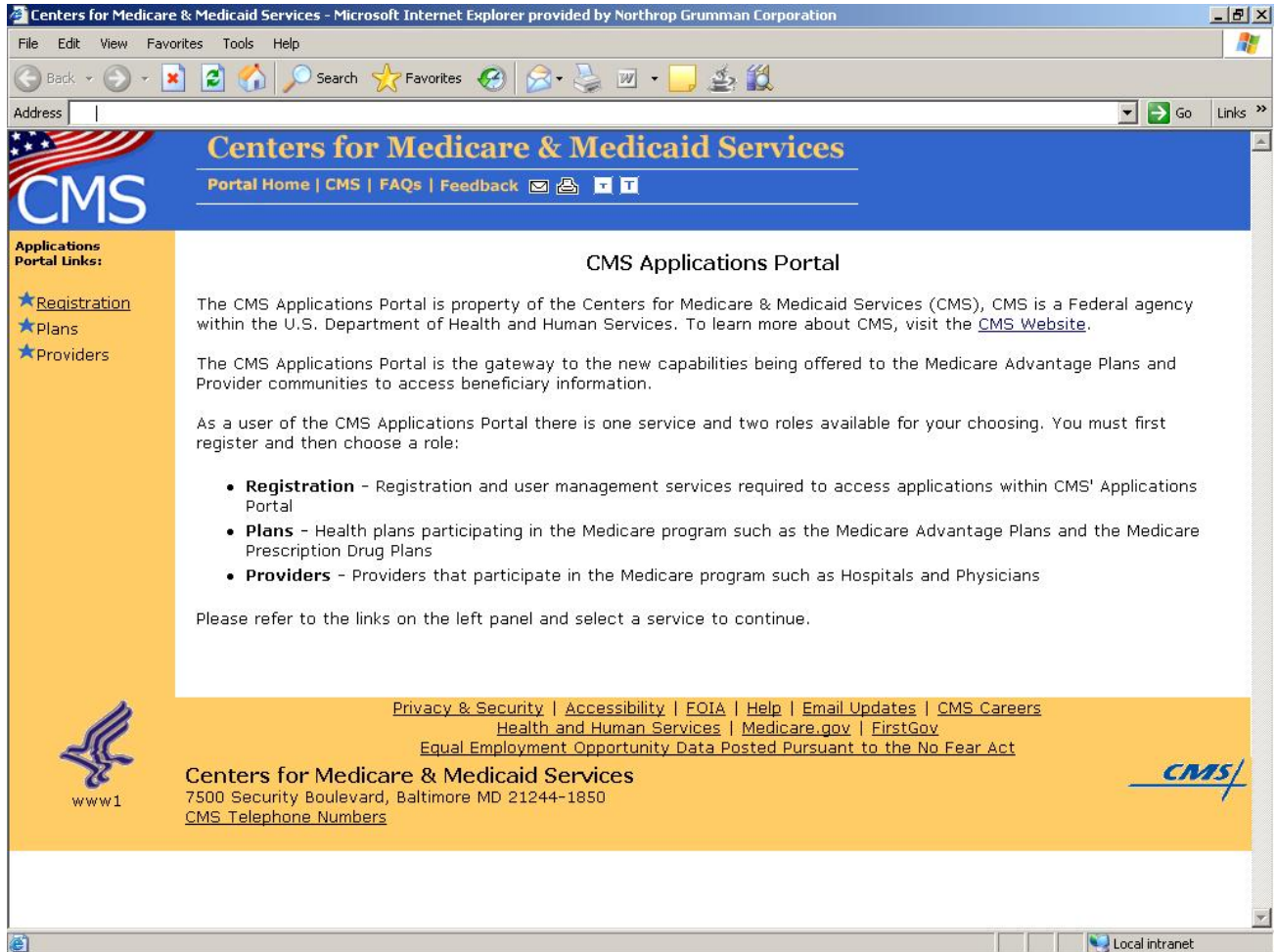


Figure 5.4-2. Screenshot: CMS Applications Portal

The Plans page provides the link to the MBD-UI application.

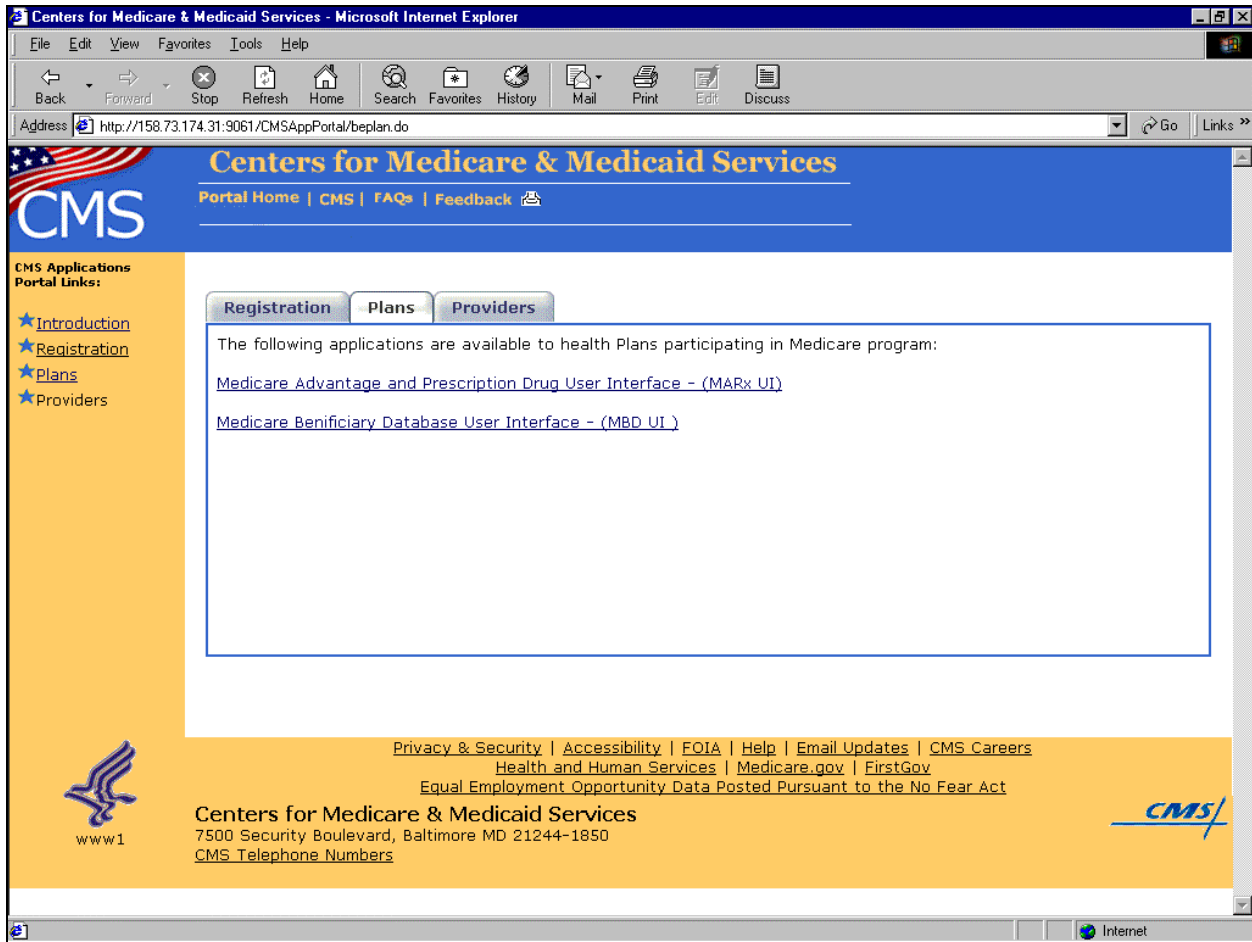


Figure 5.5-3. Screenshot: Plans Page

This screenshot represents the Login screen to IACS.

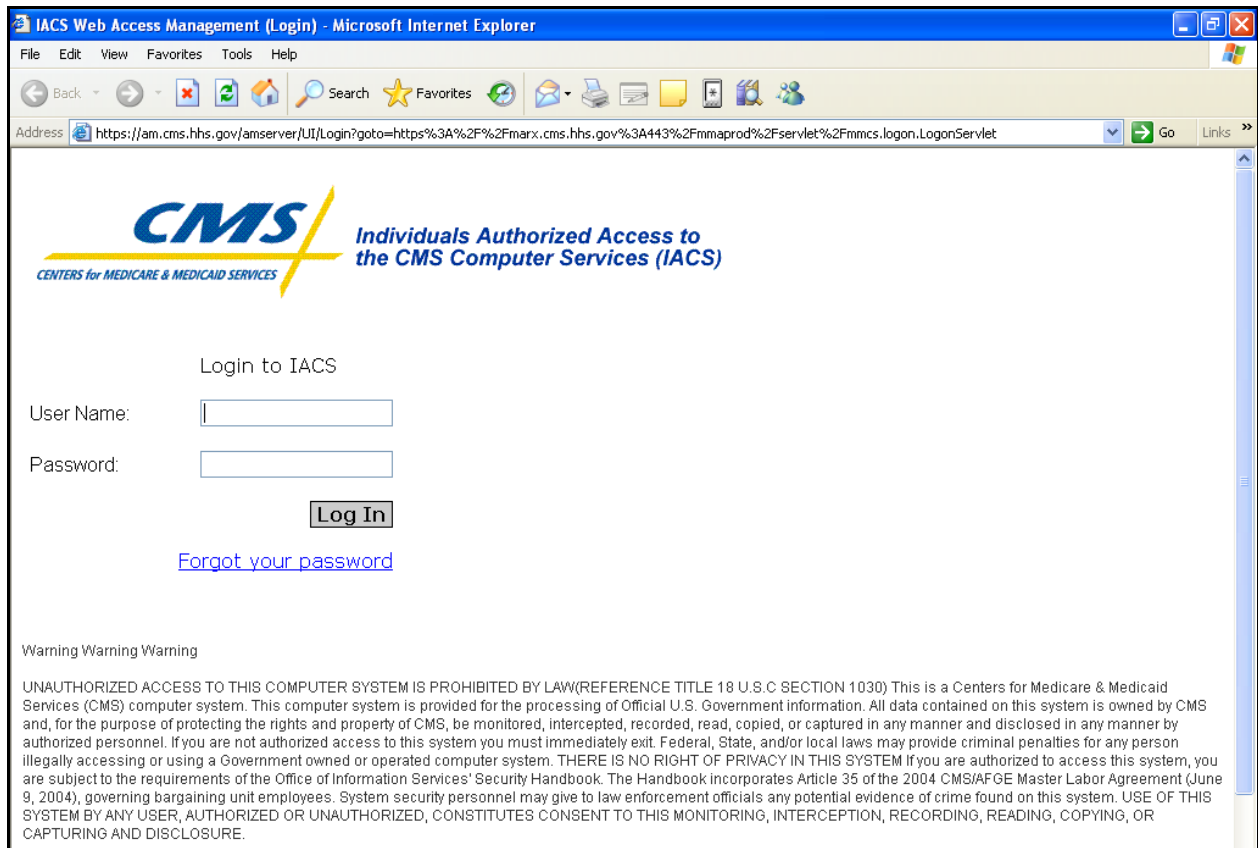


Figure 5.4-4, Screenshot: Login to IACS

This section presents the html screenshots of the MBD UI application. These screens have been developed based on the existing UI and the Business requirements of the MBD UI application.

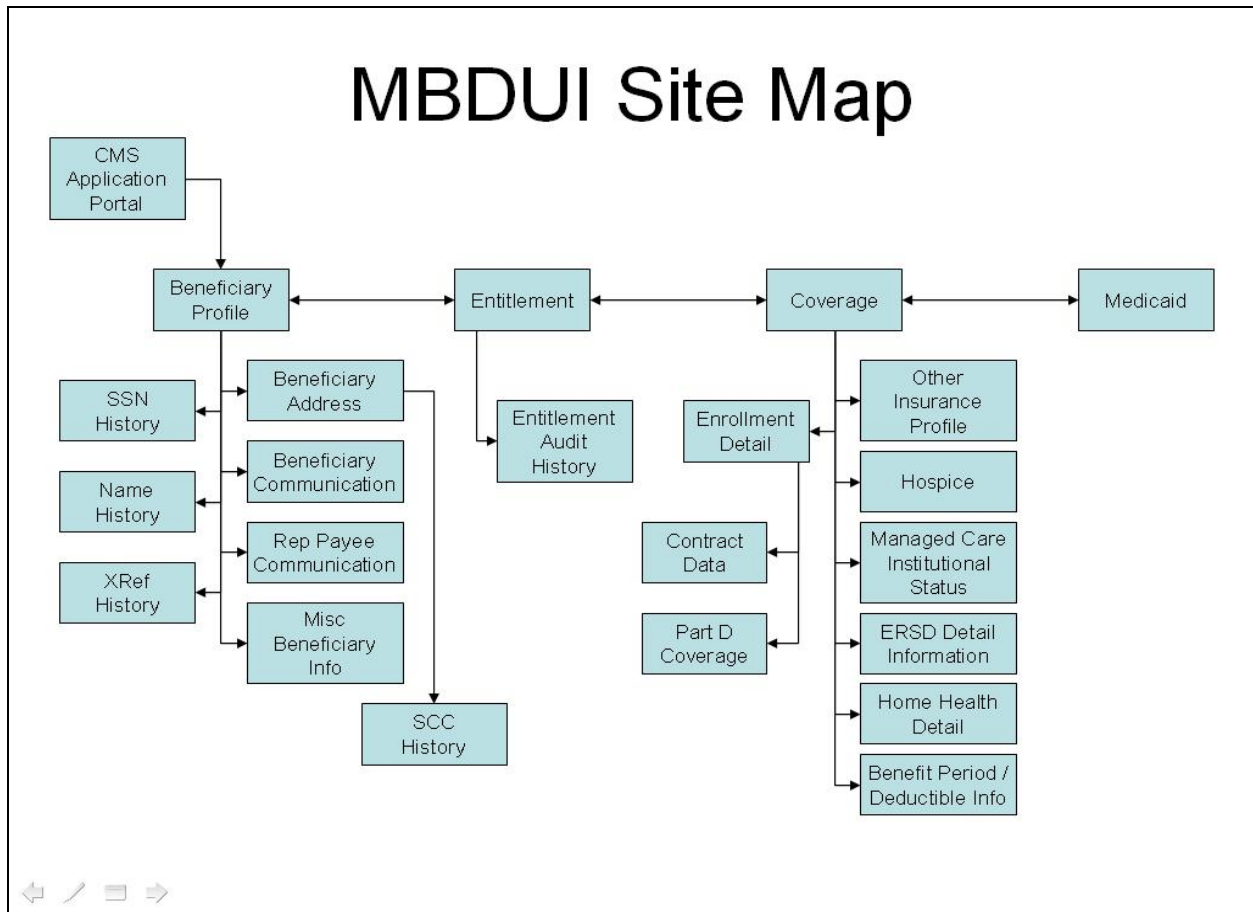
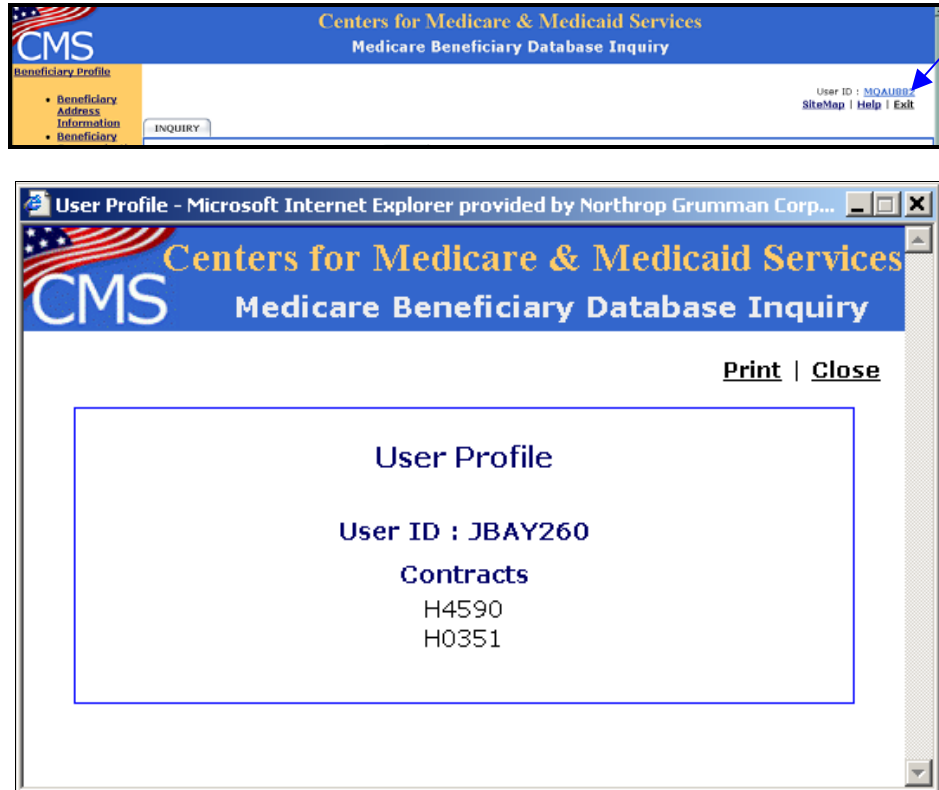


Figure 5.4-5. Screenshot: MBD UI Site Map



The user will have access to a pop-up option that displays all contract numbers that are assigned to the User ID. In order to access this pop-up option, the user must double-click on their User ID in the upper right-hand corner of the screen.



**Figure 5.4-6. Screenshot: User Profile Pop-Up Screen**

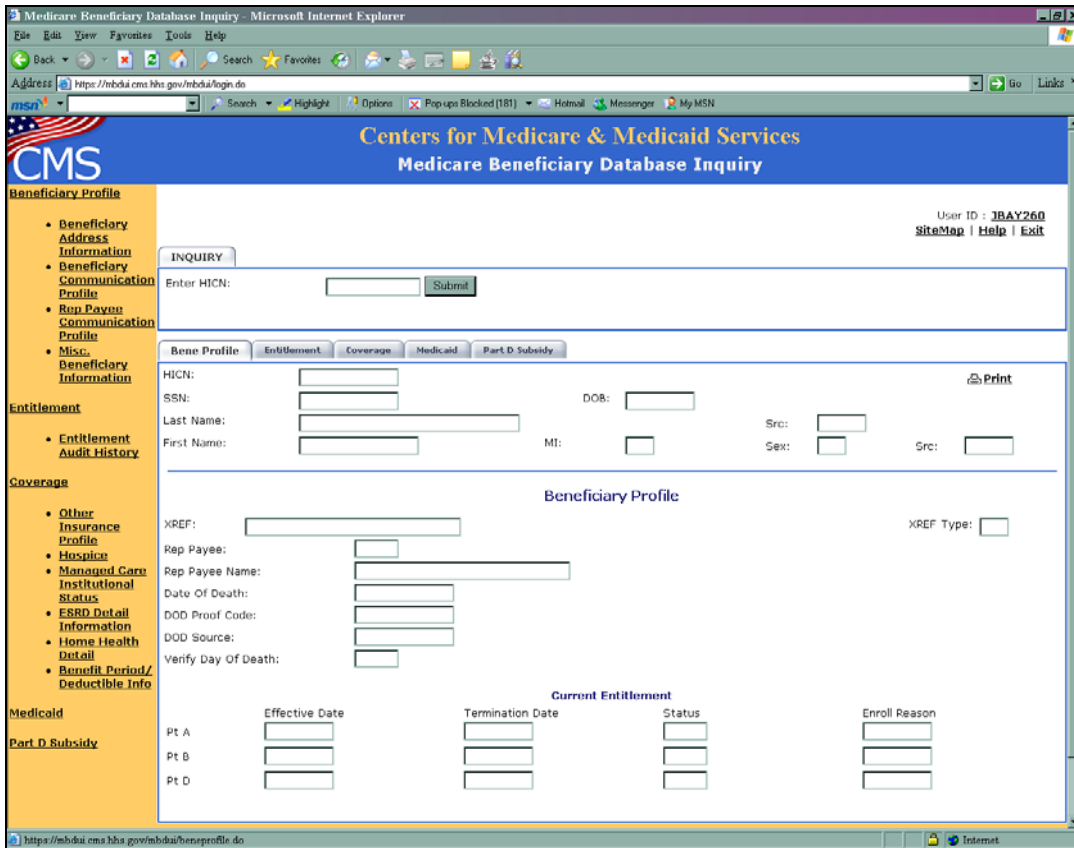


Figure 5.4-7. Screenshot: MBD Beneficiary Profile Screen

The screenshot displays the 'Medicare Beneficiary Database Inquiry' interface. At the top, the CMS logo and 'Centers for Medicare & Medicaid Services' are visible. The page title is 'Medicare Beneficiary Database Inquiry'. On the right, the user ID is 'CMSUser' with links for 'Help' and 'Exit'. A navigation menu on the left includes sections for 'Beneficiary Profile', 'Entitlement', 'Coverage', and 'Medicaid', each with sub-links. The main content area has an 'INQUIRY' tab and a search box for HICN. Below this are tabs for 'Bene Profile', 'Entitlement', 'Coverage', and 'Medicaid'. The 'Bene Profile' tab is active, showing fields for HICN, SSN, Last Name, First Name, MI, Sex, Src, and DOB. A 'Print' icon is present. The 'Beneficiary Address Information' section contains two columns: 'Mailing Address' and 'Residence Address'. Each column has fields for address lines, City, ST, Zip, Eff. Date, To, and Cons Code. Below this is a 'Resides with Rep Payee?' checkbox and a 'Current Valid SSA Codes' section with fields for Type, Eff Date, SSA State Cd, and SSA Cnty Cd. The footer contains the CMS logo and contact information: 'Centers for Medicare & Medicaid Services, 7500 Security Boulevard, Baltimore MD 21244-1850'.

Figure 5.4-8. Screenshot: MBD Beneficiary Address Screen

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

The screenshot displays the 'Medicare Beneficiary Database Inquiry' interface. On the left is a navigation menu with categories: Beneficiary Profile, Entitlement, Coverage, and Medicaid. The main content area is titled 'Medicare Beneficiary Database Inquiry' and includes a 'User ID: CMSUser' and 'Help | Exit' link. Below the title is an 'INQUIRY' section with an 'Enter HICN:' field and a 'Submit' button. A secondary section has tabs for 'Bene Profile', 'Entitlement', 'Coverage', and 'Medicaid'. The 'Bene Profile' tab is active, showing fields for HICN, SSN, Last Name, First Name, MI, Sex, Src, and DOB. Below this is the 'Beneficiary Communication Profile' section, which includes fields for Telephone Number, Fax Number, Language Preference (set to English), Media Preference (set to Written), Rec. Add Timestamp, E-Mail Address, EFT Address, Survey Sample Cumulative Total, and Survey Sample Participation Indicator. At the bottom of this section is the 'Medicare HandBook Information' section with fields for Correspondence Type, Language Preference (set to English), and Media Preference (set to Written). The footer contains the CMS logo and address: 'Centers for Medicare & Medicaid Services, 7500 Security Boulevard, Baltimore MD 21244-1850'.

Figure 5.4-9. Screenshot: MBD Beneficiary Communication Profile

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

**Centers for Medicare & Medicaid Services**

**Medicare Beneficiary Database Inquiry**

User ID : CMSUser  
[Help](#) | [Exit](#)

**INQUIRY**

Enter HICN:

**Bene Profile** | Entitlement | Coverage | Medicaid

HICN:

SSN:

Last Name:  Src:  DOB:

First Name:  MI:  Sex:  Src:

**Rep Payee Communication Profile**

Rep Payee Name:

Telephone Number:  E-Mail Address:

Fax Number :

Language Preference:  Src:

Media Preference:

EFT Address:

Survey Sample Cumulative Total:

Survey Sample Participation Indicator:

**Medicare HandBook Information**

Correspondence Type :  Src :

Language Preference :

Media Preference :

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Figure 5.4-10. Screenshot: MBD Inquiry – Rep Payee Communication Profile

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

Figure 5.4-11. Screenshot: MBD Inquiry – Miscellaneous Beneficiary Information

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

**Centers for Medicare & Medicaid Services**  
**Medicare Beneficiary Database Inquiry**

User ID : **JBAY260**  
[SiteMap](#) | [Help](#) | [Exit](#)

**INQUIRY**

Enter HICN:

**Bene Profile** | **Entitlement** | **Coverage** | **Medicaid** | **Part D Subsidy**

HICN:

SSN:  DOB:

Last Name:  Src:

First Name:  MI:  Sex:  Src:

**Entitlement**

**Part A Entitlement**

Effective Date	Termination Date	Status	Enrollment Reason

**Part B Entitlement**

Effective Date	Termination Date	Status	Enrollment Reason

**Part D Eligibility**

Effective Date	Termination Date	Status	Enrollment Reason

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Figure 5.4-12. Screenshot: MBD Inquiry – MBD Entitlement Screen

Figure 5.4-13. Screenshot: MBD Inquiry – MBD Entitlement Audit Screen

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.



The screenshot displays the CMS 'Coverage' screen. On the left is a navigation menu with sections: Beneficiary Profile, Entitlement, Coverage, and Medicaid. The main content area is titled 'Coverage' and includes an 'INQUIRY' section with a 'Submit' button. Below this are tabs for 'Bene Profile', 'Entitlement', 'Coverage', and 'Medicaid'. The 'Coverage' tab is active, showing fields for HICN, SSN, Last Name, First Name, and MI. It also displays 'MCO Beneficiary Service Delivery Elections' and 'Audit History?' with radio buttons for 'Yes' and 'No'. Two tables are present: one for MCO elections and one for audit history.

**MCO Beneficiary Service Delivery Elections**

Delivery Option	Contract Number	Enrollment Effective Date	Disenrollment Effective Date	Audit Indicator
FFS	123456789033	2002-01-01	2003-01-01	*
FFS	123456789022	2001-01-01	2002-01-01	V
FFS	123456789011	2000-01-01	2001-01-01	A

**Audit History?**  Yes  No

	Effective Date	Termination Date
Hospice	2003-01-01	2004-01-01
ESRD	2001-01-01	2002-01-01
Home Health	2003-01-01	2003-01-01

Figure 5.4-14 Screenshot: MBD Coverage Screen

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

Figure 5.4-15. Screenshot: MBD Inquiry – Other Insurance Profile

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

**Centers for Medicare & Medicaid Services**

**Medicare Beneficiary Database Inquiry**

User ID : CMSUser  
[Help](#) | [Exit](#)

**INQUIRY**

Enter HICN:

**Bene Profile** | **Entitlement** | **Coverage** | **Medicaid**

HICN:

SSN:

Last Name:  Src:  DOB:

First Name:  MI:  Sex:  Src:

**Hospice Detail Information**

Effective Date	Term Date	Provider Num	Rvctn Code	Rec Add Timestamp

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Figure 5.5-16. Screenshot: MBD Inquiry – Hospice Detail Information

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

**Centers for Medicare & Medicaid Services**

**Medicare Beneficiary Database Inquiry** User ID : CMSUser  
Help | Exit

**INQUIRY**

Enter HICN:

**Bene Profile** | Entitlement | Coverage | Medicaid

HICN:

SSN:

Last Name:  Src:  DOB:

First Name:  MI:  Sex:  Src:

**Managed Care Institutional Status Information**

**MCO Nursing Home Certifiable**

Effective Date	Term Date	Audit Ind	Start Create Timestamp	Start Src	End Create Timestamp	End Src	Audit Create Timestamp	Audit Src

**MCO Institutional Status**

Effective Date	Term Date	Audit Ind	Start Create Timestamp	Start Src	End Create Timestamp	End Src	Audit Create Timestamp	Audit Src

Audit History?  Yes  No

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**Figure 5.4-17. Screenshot: MBD Inquiry – Managed Care Institutional Status Information**

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

The screenshot displays the Medicare Beneficiary Database Inquiry page. At the top, the CMS logo is on the left, and the title 'Centers for Medicare & Medicaid Services' is in the center. Below the title is the 'Medicare Beneficiary Database Inquiry' header. On the right, the user ID is 'CMSUser' with links for 'Help' and 'Exit'. A search bar labeled 'INQUIRY' contains the text 'Enter HICN:' followed by an input field and a 'Submit' button. Below this are tabs for 'Bene Profile', 'Entitlement', 'Coverage', and 'Medicaid'. The 'Coverage' tab is active, showing fields for HICN, SSN, Last Name, First Name, MI, Sex, and DOB. A 'Print' button is located in the top right of this section. The main area is titled 'ESRD Detail Information' and contains several tables. The first table has columns: Coverage Effective Date, Coverage Term Date, Start Source CD, Termination Reason, and Rec Add Timestamp. The second table has columns: Self-Care Training Date and Rec Add Timestamp. The third table has columns: Dialysis Effective Date, Dialysis Term Date, and Rec Add Timestamp. The fourth table has columns: Transplant Effective Date, Transplant Fail Date, and Rec Add Timestamp. At the bottom, the CMS logo and address '7500 Security Boulevard, Baltimore MD 21244-1850' are displayed.

Figure 5.4-18. Screenshot: MBD Inquiry – ESRD Detail Information

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

The screenshot displays the 'Medicare Beneficiary Database Inquiry' page. At the top, the CMS logo is on the left, and the title 'Centers for Medicare & Medicaid Services' is in the center. Below the title, the page is titled 'Medicare Beneficiary Database Inquiry'. On the right, it shows 'User ID : CMSUser' with links for 'Help' and 'Exit'. A search bar labeled 'INQUIRY' contains the text 'Enter HICN:' followed by an input field and a 'Submit' button. Below this, there are tabs for 'Bene Profile', 'Entitlement', 'Coverage', and 'Medicaid'. The 'Coverage' tab is active, showing fields for HICN, SSN, Last Name, First Name, MI, Sex, and two Src fields, along with a DOB field. A 'Print' icon is visible. Below the form fields is a section titled 'Home Health Detail Information' containing a table with the following columns: Start Date, End Date, Earliest Bill Date, Latest Bill Date, Contractor Number, Patient Status, and Provider Number. The table is currently empty. At the bottom of the page, the CMS logo and address 'Centers for Medicare & Medicaid Services, 7500 Security Boulevard, Baltimore MD 21244-1850' are displayed.

Figure 5.4-19. Screenshot: MBD Inquiry – Home Health Detail Information

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

Figure 5.4-20. Screenshot: MBD Inquiry – Benefit Period Deductible Information

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

**Centers for Medicare & Medicaid Services**

**Medicare Beneficiary Database Inquiry** User ID : CMSUser  
Help | Exit

**INQUIRY**

Enter HICN:

**Bene Profile** | Entitlement | Coverage | Medicaid

HICN:    
 SSN:   
 Last Name:  Src:  DOB:   
 First Name:  MI:  Sex:  Src:

**Enrollment Detail**

Contract No	Enrollment Date	Disenrollment Date	Disenroll Reason	Audit Ind	Signature Date	Prior CMCL Mbr Mths	Employer HP Sw

Contract Type	Start Create Timestamp	Start Src	End Create Timestamp	End Src	Audit Create Timestamp	Audit Src

**PBP Information**

PBP ID	PBP Start Date	PBP End Date	Audit Ind	Signature Date	Prem Red Ind	Dsnrfl Rsn Cd	Out of Svc Area Svc
ID4	2002-01-01	2003-01-01	V	2003-01-02	Y	CD	T
ID2	2000-01-01	2001-01-01	V	2001-01-02	Y	CD	T

**Part D Coverage**

Part D Flag	Rx BIN	Rx ID Number	Rx Group Number	Rx PCN	ESO Flag

Audit History?  Yes  No

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Figure 5.4-21. Screenshot: MBD Inquiry – Enrollment Detail

**Note**

Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.



**Centers for Medicare & Medicaid Services**

**Medicare Beneficiary Database Inquiry**

User ID : CMSUser  
[Help](#) | [Exit](#)

**INQUIRY**

Enter HICN:

**Bene Profile** | **Entitlement** | **Coverage** | **Medicaid**

HICN:

SSN:

Last Name:  Src:  DOB:

First Name:  MI:  Sex:  Src:

**Medicaid**

**GHP Medicaid Data**

Effective Date	Termination Date	Audit Ind	Start Create Timestamp	Start Src	End Create Timestamp	End Src	Audit Create Timestamp	Audit Src

**MSIS Medicaid Data**

Fiscal Year	Qtr Num	Days of Eligibility			State Code	Dual Elig Code	Dual Elig Description
		Month 1	Month 2	Month 3			

**Third party Medicaid Data**

Mdcr Type Code	Start Date	Term Date	Prem Pyr Code

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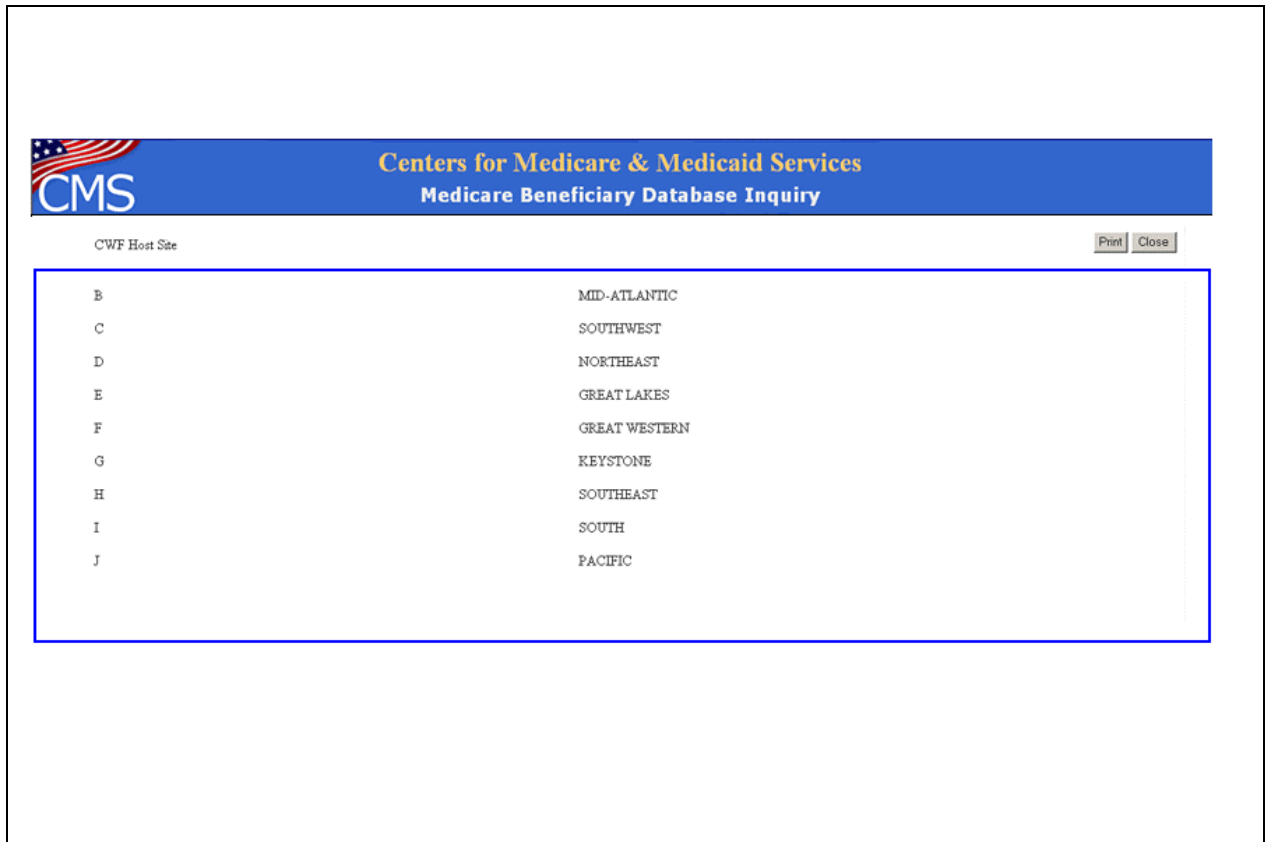
Figure 5.4-22. Screenshot: MBD Inquiry – Medicaid

**Note**

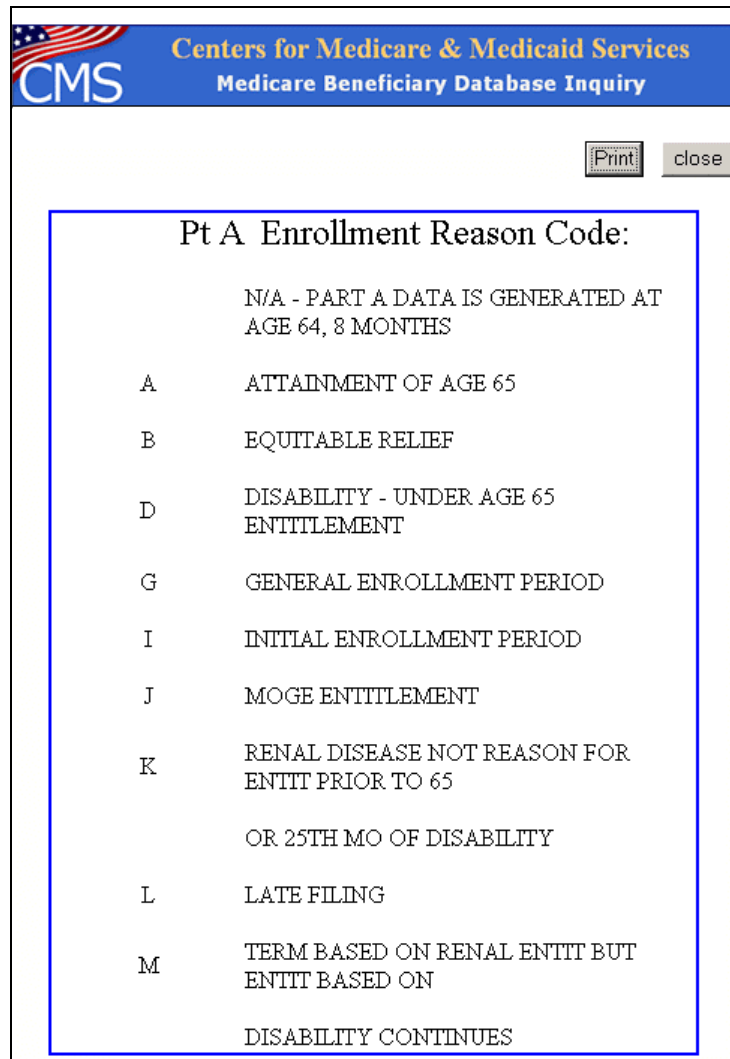
Screenshots will be updated with the release of the next version of the *Guide* to include the Part D Subsidy link.

The screenshot displays the 'Centers for Medicare & Medicaid Services Medicare Beneficiary Database Inquiry' interface. At the top left is the CMS logo. The title bar reads 'Centers for Medicare & Medicaid Services Medicare Beneficiary Database Inquiry'. On the right side of the title bar are 'Print' and 'close' buttons. The main content area contains a table with the following columns: 'Contract Type', 'Start Date', 'Contract Type', 'End Date', 'Code', 'Pay Bill Option Description', 'Code', and 'Bill Option Code Description'. Below the table are several form fields: a small text box, a 'Contract Name' label followed by a long text box, an 'Address' label followed by a long text box, and a 'Scrub Sw' label followed by a small checkbox.

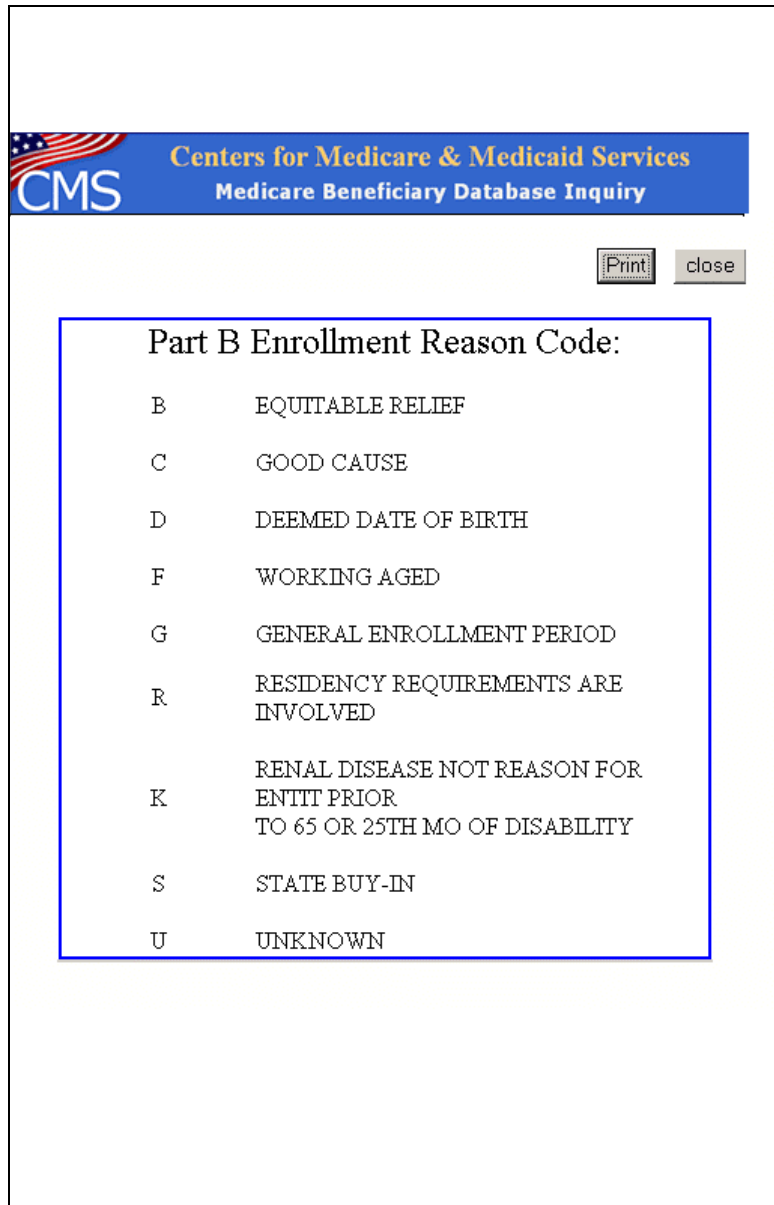
Figure 5.4-23. Screenshot: MBD Contract Information Screen



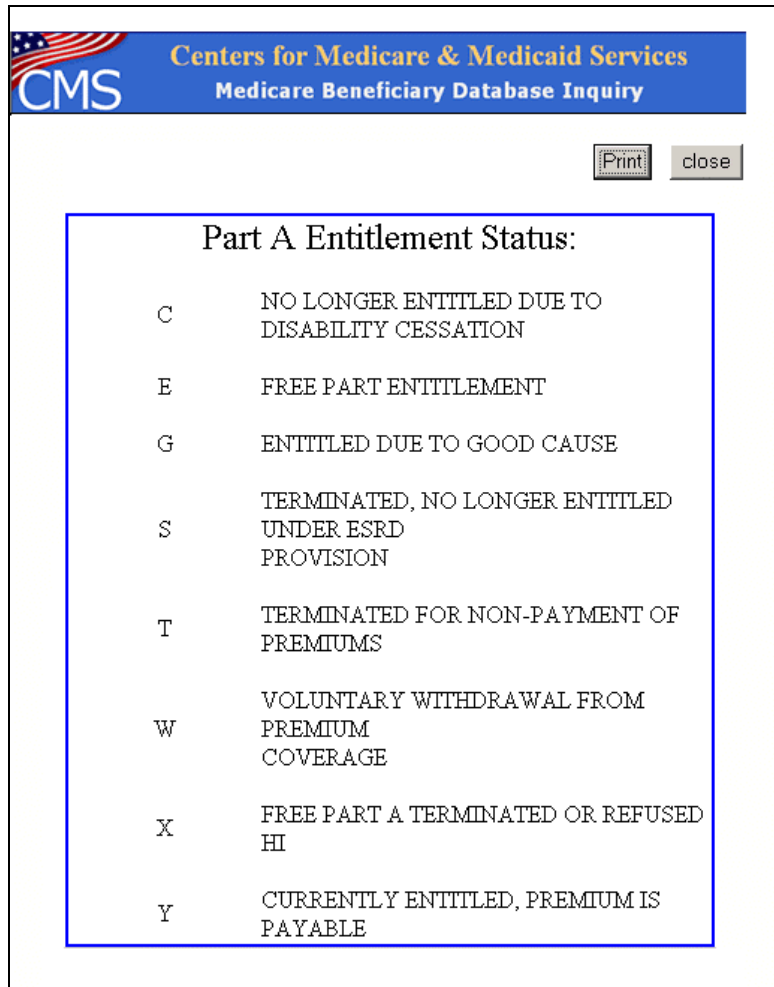
**Figure 5.4-24. Screenshot: MBD Region Screen**



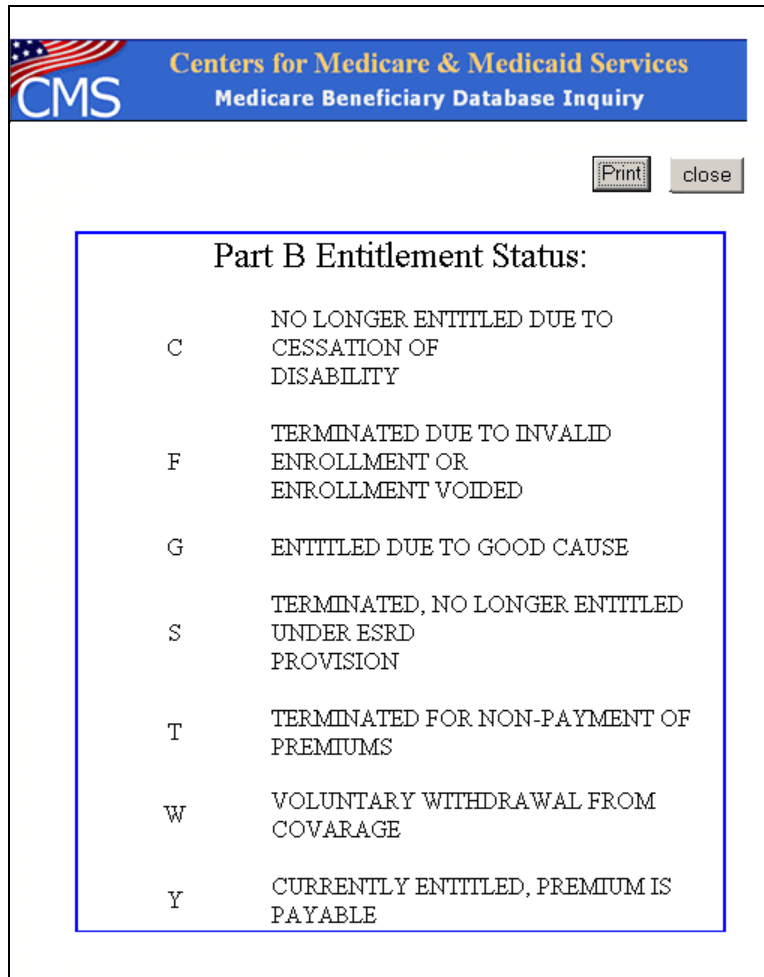
**Figure 5.4-25. Screenshot: MBD Part A Enrollment Reason Code Screen**



**Figure 5.4-26. Screenshot: MBD Part B Enrollment Reason Code Screen**



**Figure 5.4-27. Screenshot: MBD Part A Entitlement Status Screen**



**Figure 5.4-28. Screenshot: MBD Part B Entitlement Status Screen**

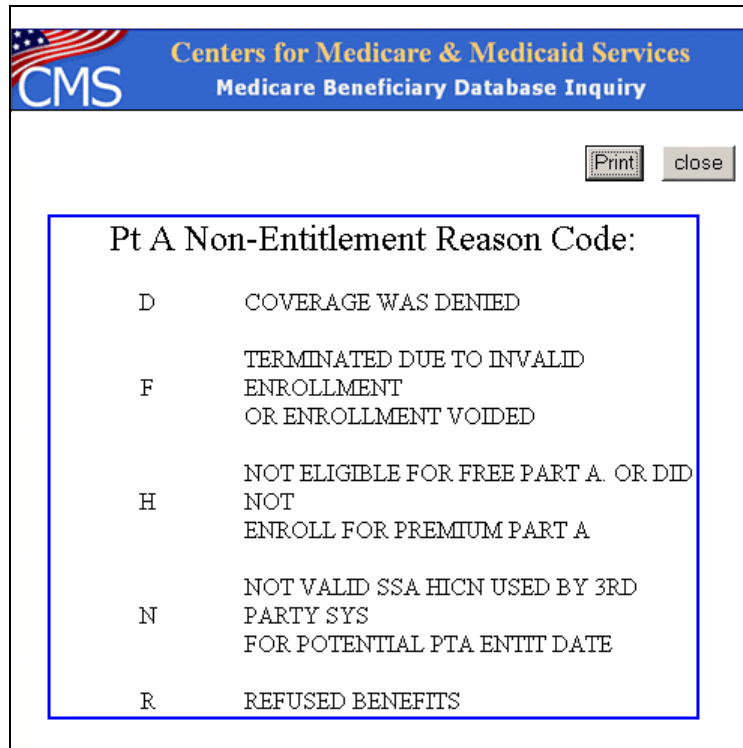


Figure 5.4-29. Screenshot: MBD Part A Non-Entitlement Reason Code

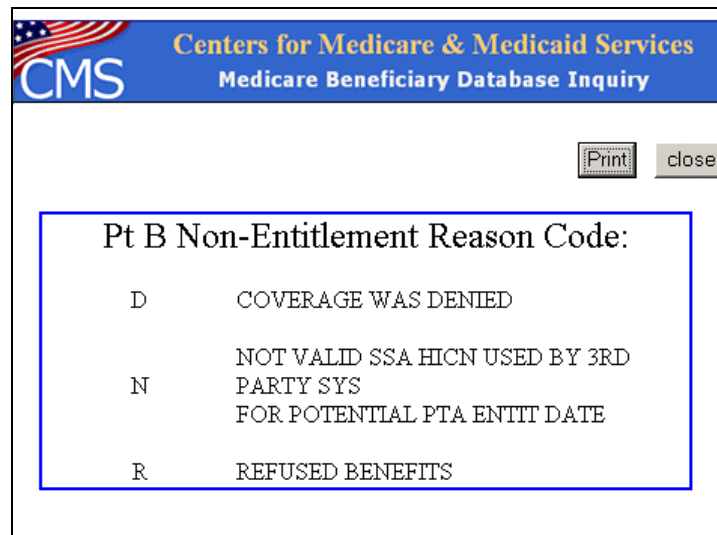
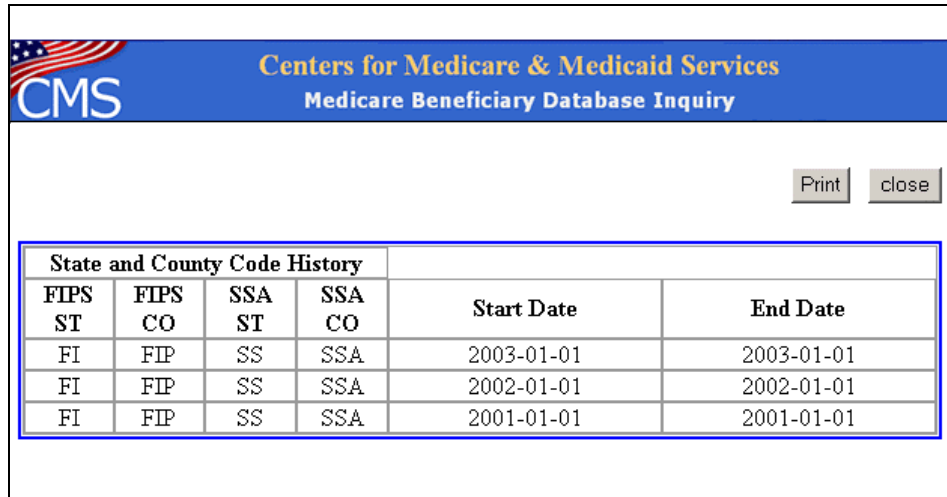


Figure 5.4-30. Screenshot: MBD Part B Non-Entitlement Reason Code

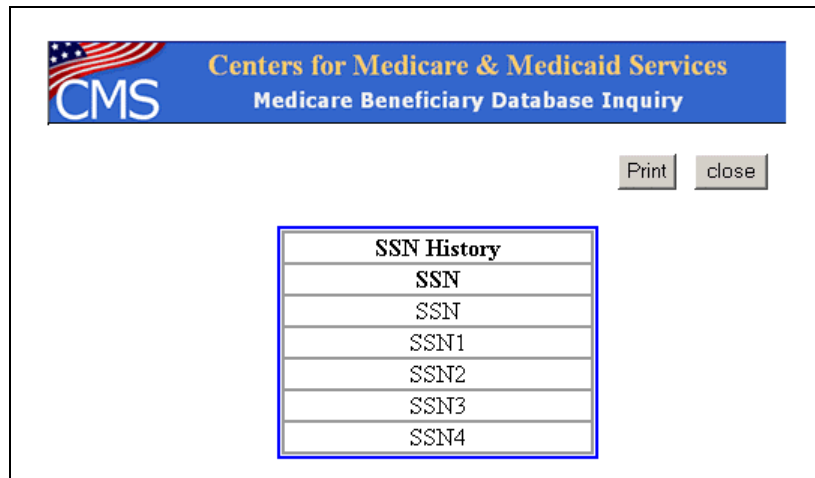




The screenshot shows the CMS Medicare Beneficiary Database Inquiry interface. At the top, there is a blue header with the CMS logo and the text "Centers for Medicare & Medicaid Services Medicare Beneficiary Database Inquiry". Below the header, there are "Print" and "close" buttons. The main content is a table titled "State and County Code History".

State and County Code History				Start Date	End Date
FIPS ST	FIPS CO	SSA ST	SSA CO		
FI	FIP	SS	SSA	2003-01-01	2003-01-01
FI	FIP	SS	SSA	2002-01-01	2002-01-01
FI	FIP	SS	SSA	2001-01-01	2001-01-01

Figure 5.4-31. Screenshot: MBD State and County Code History



The screenshot shows the CMS Medicare Beneficiary Database Inquiry interface. At the top, there is a blue header with the CMS logo and the text "Centers for Medicare & Medicaid Services Medicare Beneficiary Database Inquiry". Below the header, there are "Print" and "close" buttons. The main content is a table titled "SSN History".

SSN History
SSN
SSN
SSN1
SSN2
SSN3
SSN4

Figure 5.4-32. Screenshot: MBD SSN History

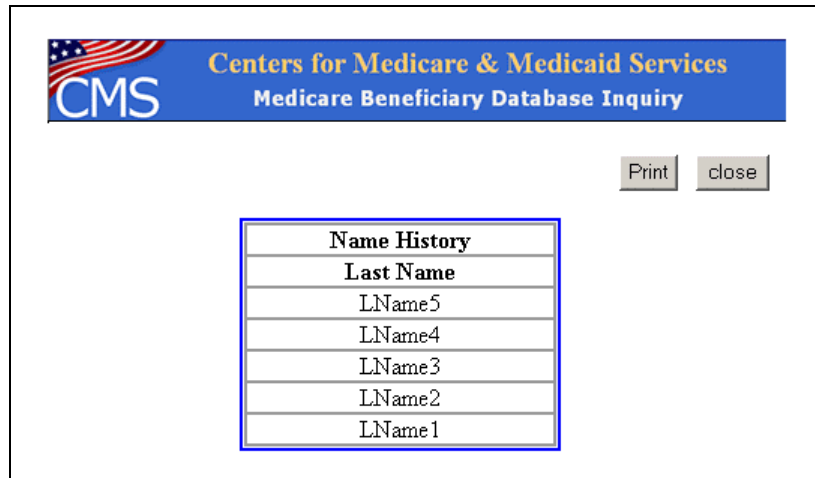


Figure 5.4-33. Screenshot: MBD Name History

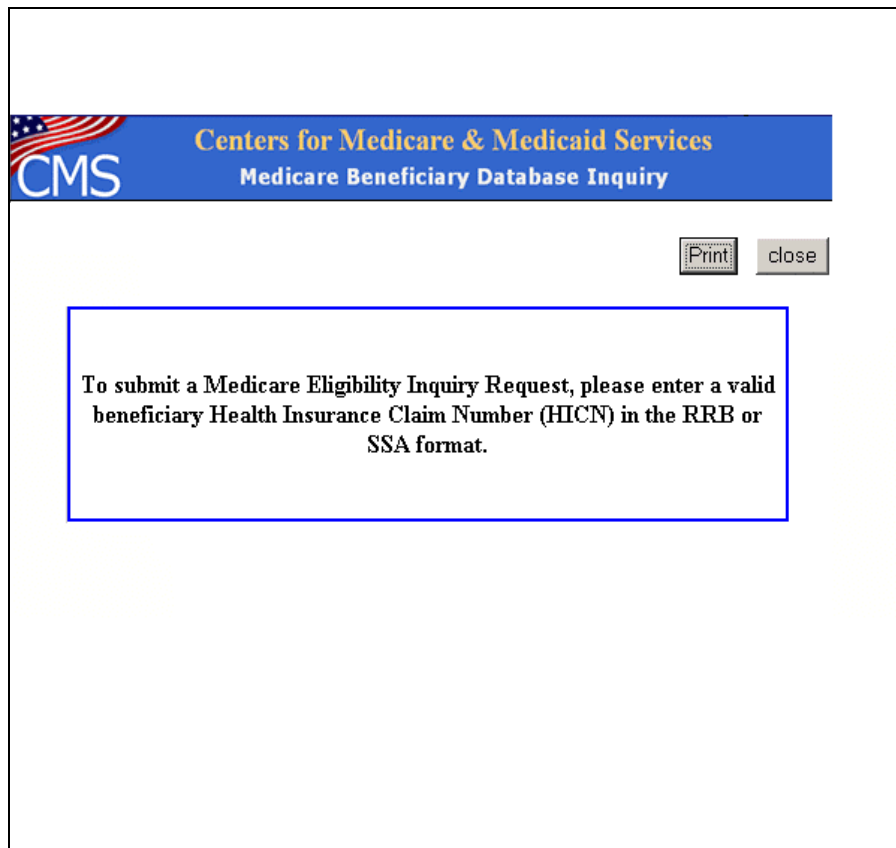


Figure 5.4-34. Screenshot: MBD Inquiry Request Screen

This tab provides Deemed Data and Low Income Subsidy eligibility information. This section presents all the subsets of this tab.

**Centers for Medicare & Medicaid Services**  
**Medicare Beneficiary Database Inquiry**

User ID : JBAY260  
[SiteMap](#) | [Help](#) | [Exit](#)

**Beneficiary Profile**

INQUIRY

Enter HICN:

**Entitlement**

HICN:

SSN:  DOB:

Last Name:  Src:

First Name:  MI:  Sex:  Src:

**Part D Subsidy**

**Deemed Data**

Start Date	End Date	Audit Seq	Rec Add Timestamp	Rec Update Timestamp	Audit Src Code	Rec Audit Timestamp
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Low Income Subsidy**

Start Date	End Date	Source Code	Effctv Sw	Copay Level	Audit Seq
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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https://mbdca.cms.hhs.gov/mbdca/partdsubsidy.do

Figure 5.4-35. Screenshot: Part D Subsidy Screen

**Centers for Medicare & Medicaid Services**  
**Medicare Beneficiary Database Inquiry**

User ID : **FPW503**  
[SiteMap](#) | [Help](#) | [Exit](#)

**Beneficiary Profile**

- Beneficiary Address Information
- Beneficiary Communication Profile
- Rep Payee Communication Profile
- Misc. Beneficiary Information

**Entitlement**

- Entitlement Audit History

**Coverage**

- Other Insurance Profile
- Hospice
- Managed Care Institutional Status
- ESRD Detail Information
- Home Health Detail
- Benefit Period/Deductible Info

**Medicaid**

**Part D Subsidy**

**INQUIRY**

Enter HICN:

**Bene Profile** | Entitlement | Coverage | Medicaid | Part D Subsidy

HICN:

SSN:  DOB:

Last Name:  Src:

First Name:  MI:  Sex:  Src:

**Deemed Data Detail**

**Deemed Data**

Start Date	End Date	Audit Seq	Rec Add Timestamp
<input type="text" value="01/01/2006"/>	<input type="text" value="12/31/2006"/>	<input type="text" value="0"/>	<input type="text" value="2006-02-02-13.25.00"/>
Audit Src Cd	Rec Audit Timestamp	Rec Update Timestamp	
<input type="text" value="H1111"/>	<input type="text" value="2006-02-02-13.25.00"/>	<input type="text" value="2006-02-02-13.26.00"/>	

**Deemed Copayment Data**

Start Date	End Date	Audit Seq	Copay Level ID	Src Cd	Rsn Cd	Rec Add Timestamp	Rec Update Timestamp	Audit Src Cd	Rec Audit Timestamp
01/01/2006	12/31/2006	0	1	1	8B	2006-02-02-13.25.00	2006-02-02-13.26.00	H1111	2006-02-02-13.25.00

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Figure 5.4-36. Screenshot: Deemed Data Detail Screen

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## **6: Cost Plan Transaction Processing**

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Because beneficiaries can choose to enroll in an outside PDP and remain in the Cost Plans, MARx will use PBP-level processing for these organizations. The following steps will accomplish this:

- HPMS will provide available drug and non-drug PBP numbers for Cost Plans to MARx. If no non-drug PBPs were approved for the Cost Plan, HPMS will generate a “dummy” non-drug PBP number of 999. This will not be necessary for drug PBPs as Cost Plans were required to create drug PBPs.

Beneficiaries who are members of a non-drug PBP of a Cost Plan may elect to obtain Part D coverage through the Cost Plan or through a separate PDP. The Cost Plan will use the following transactions for beneficiary enrollments:

- If a current member elects to obtain Part D through the Cost Plan, submit a 71 transaction to move the member from the non-drug PBP to the drug PBP. Include the election type and Part D premium-related information.
- If a current member elects to obtain Part D through a PDP, while remaining in the Cost Plan, the Cost Plan submits no transactions. When the PDP submits a 61 transaction to enroll the beneficiary, MARx will not disenroll the member from the Cost Plan.
- If a new member elects to enroll in the non-drug portion of the Cost Plans, submit a 61 with a non-drug PBP number. (Use 999 if the Plan does not have a non-drug PBP approved in HPMS.)
- If a new member elects to enroll in the drug portion of the Cost Plans, submit a 61 with the drug PBP number, election type and Part D premium-related information.

The following clarifications related to election periods will also impact Cost Plans. In two of the three scenarios, Plans must specify an election type:

- Enrollment into a Cost Plan's non-drug PBP from FFS or a non-MA Plan does not require that an election type be specified. The beneficiary does not utilize an election when enrolling in non MA or non Part D Plans.
- Enrollment into a Cost Plan's non-drug PBP requires an election type to be specified if the member is currently enrolled in an MA, MA-PD, or PDP. This is because the beneficiary must utilize an election to disenroll from the latter Plan types. At the time of enrollment, the Cost Plan may need to query the beneficiary if they are currently enrolled in a Medicare Advantage or Part D Plan.
- Enrollment into, or disenrollment from, a Cost Plan's drug PBP requires an election type of AEP, IEP, or SEP to be specified. The beneficiary utilizes an election in these situations.

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## ***7: Reporting RxID/RxGROUP/RxPCN/RxBIN Data***

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The 4Rx Notification process is a data exchange between the Plans and CMS. Plans provide CMS with additional information on Plan enrollments to support Point of Sale (POS) and other pharmacy related information needs. The objective of this exchange is to make 4Rx data available to the TrOOP (True-Out of Pocket) Facilitator.

Pharmacies operate in a real-time processing environment and require accurate information at POS in order to properly adjudicate the claim with all payers that cover the beneficiary. In addition, many pharmacies have automated their billing based on eligibility data. The sooner Plans can submit their 4Rx files to CMS, the faster complete data can be available from the E1 eligibility query (the transaction pharmacies submit to the TrOOP Facilitator to obtain 4Rx data). Due to this, CMS requires prompt submission of 4Rx files. CMS has established a requirement that Plans submit the 4Rx files 48-72 hours after receiving confirmation of enrollment on the TRR.

One of the most difficult issues for CMS and the TrOOP Facilitator has been collecting the 4Rx information through the Plan submissions of the 4Rx file and ensuring a steady and accurate flow of 4Rx records processed through to the TrOOP Facilitator so pharmacies are able to assist beneficiaries that have issues at POS with not knowing which Plan they are in. Pharmacists rely on using the E1 eligibility query to obtain billing information on the beneficiary, particularly the Cardholder ID, which is a National Council for Prescription Drug Program (NCPDP) mandatory field in the pharmacy transaction. When pharmacists are unable to obtain the 4Rx information from an E1 transaction, they require dedicated phone lines at Plans and their processors to assist in providing the essential billing information on the beneficiary such as the Cardholder ID.



## 7.1 Plan to CMS / 4Rx Notification

### Note

Detailed File/Record Formats are located in *Appendix E, Record Layouts*; detailed Error Code Tables for 4Rx Notification are located in *Appendix H, Codes*.

### 7.1.1 4Rx Notification Instructions

The Sending Entities may submit one or more 4Rx Notification Files to CMS during any CMS business day (*Monday thru Friday*) via Connect: Direct (NDM) or the Sterling Electronic Mailbox (GENTRAN). There is not a minimum or maximum limit with respect to 4Rx Notification files or transactions. However, if no transactions are submitted within a file, the file will be rejected. Each Detail Record of a 4Rx Notification File will be considered a 4Rx "Transaction."

The 4Rx Notification Files should be formulated to the record formats and field definitions described in Appendix E, 4Rx Notification File / Record Formats. The 4Rx Notification Files should be in flat file structure and conform to CMS naming conventions (see *Section 2, Establishing Communications with CMS*, and *Appendix J, All Transmissions Overview*, for more information on naming standards).

The MBD will recognize 4Rx Notification Files by the information supplied in the Header and Trailer Records. Header Record information is considered critical as it will be used by CMS to track, control, formulate, and route files and transactions through the MBD process and communicate responses back to the Sending Entities.

The transactions (Detail Records) on the 4Rx Notification File should be formulated to identify a Plan enrollee, the current Contract, and Plan of the enrollee. It will also provide the four prescription drug coverage fields for the enrollee's coverage.

It should be noted that if the Rx PCN and/or Rx Group field on the incoming transaction contains all spaces, the associated field(s) on the beneficiaries' MBD record will be over laid with all spaces. A beneficiary will be updated with the 4Rx values found upon a given transaction provided in the 4Rx Notification File if the beneficiary has been matched successfully.

The 4Rx Notification Files should contain transactions (Detail Records) for current Plan enrollments only. For a 4Rx Notification File, the Sending Entities should utilize the naming standards outlined in *Section 2* and *Appendix J*.

The MBD will generate one 4Rx Response File for a Sending Entity during a regular business day. This 4Rx Response File will include 4Rx Notification transactions (Detail Records) processed by the MBD for the Sending Entity during that regular business day. It should be noted that:

- The 4Rx Response File received by a Sending Entity may not include all 4Rx Notification transactions provided to CMS during that regular business day.
- The 4Rx Response File received by a Sending Entity may include 4Rx Notification Transactions provided to CMS during the previous regular business day.
- Any 4Rx Notification transactions that have not been provided on the 4Rx Response File will appear in the subsequent 4Rx Response File for the following regular business day.

For example, if a Sending Entity submits three 4Rx Notification Files within one day, it is possible that the transactions (Detail Records) returned in the 4Rx Response File will be for only a portion of one of the three 4Rx Notification Files submitted. In addition, the transactions (Detail Records) absent from the 4Rx Response File may be related to any of the three 4Rx Notification Files submitted by the Sending Entity; the MBD may not process the transactions in the order they are received. The “Detail Record Sequence Number” located in each transaction (Detail Record) can be used by the Sending Entity to track individual transactions sent to and received from CMS.

## 7.2 CMS to Plans / 4Rx Response

CMS will send 4Rx Response Files to Sending Entities. The 4Rx Response Files will be flat files created as a result of processing the transactions (Detail Records) of accepted 4Rx Notification Files (See *Section 7.1.1, 4Rx Notification Instructions*).

### 7.2.1 4Rx Response Process

The MBD will analyze a received 4Rx Notification File to determine if the 4Rx Notification File can be accepted or if it must be rejected. The transactions (Detail Records) of an accepted 4Rx Notification File will be processed and a 4Rx Response File will be created as a result. If a 4Rx Notification File is rejected, then a 4Rx Response File will not be generated.

The MBD will determine if a 4Rx Notification File shall be accepted or rejected based upon the Notification File Error Conditions as documented in *Appendix H, Notification File Error Conditions*. Upon determining if a 4Rx Notification File is to be accepted or rejected, the MBD will generate an email notification of receipt conveying this outcome.

- If the 4Rx Notification File has been accepted, the email notification shall inform the Sending Entity that the specific 4Rx Notification File has been accepted and shall be processed.
- If the 4Rx Notification File has been rejected, the email notification will inform the Sending Entity of the first File Error Condition that had caused the 4Rx Notification File to be rejected. The original file will not be returned.

This email notification will be issued to all submitters registering for the Sending Entity contract in IACS.

The MBD shall process all transactions (Detail records) of an accepted 4Rx Notification File. Each transaction shall be uniquely identified and tracked throughout the MBD processing service by the combination of the Sending Entity Name, File Control Number, File Creation Date, and Detail Record Sequence Number as provided by the Sending Entity on the 4Rx Notification File. As documented in *Appendix E, Record Layouts*, each Detail record of the 4Rx Response File maintains these four fields.

When the MBD processes a transaction, the MBD first verifies that all critical data is provided and valid on the record (See *Appendix E, 4Rx Notification File/Record Formats*).

- If all critical data elements are not provided, subsequent MBD processing will be terminated for that transaction including any attempt to locate (perform match) the beneficiary on the MBD (i.e. verify Medicare entitlement). The Processed Flag in the 4Rx Response Detail Record will be set to “N” and the Beneficiary Match Flag will have a space. The PBP Enrollment Match Flag will have a space. All error return codes will be assigned the appropriate values (see Appendix H., 4Rx Notification Transaction (Detail Record) Error Conditions).
- If all critical data elements are provided, the MBD will then attempt to perform a Beneficiary Match, in which the beneficiary identifying fields on the transaction are utilized to locate a single beneficiary on the MBD and verify Medicare entitlement.
- If a beneficiary match is found, the Beneficiary Match Flag in the 4Rx Response (Detail Record) will be set to “Y”. All Error Return Codes will be assigned the appropriate values (see Appendix H, 4Rx Notification Transaction (Detail Record) Error Conditions). The Processing Flag and PBP Enrollment Match Flag will be assigned values based upon whether or not the beneficiary's Part D enrollment is located successfully in the MBD.
- If the beneficiary is not matched, the Beneficiary Match Flag will be set to “N.” All Error Return Codes will be assigned the appropriate values (see Appendix H, 4Rx Notification Transaction (Detail Record) Error Conditions). The Processing Flag and PBP Enrollment Match Flag will be assigned values based upon whether or not the beneficiary's Part D enrollment is located successfully in the MBD.

If the MBD **successfully locates** the beneficiary on the database tables, then the MBD will attempt to locate (verify) the beneficiary's PBP enrollment through the Contract Number and PBP Number supplied on the 4Rx Notification File Transaction (Detail Record). The MBD will verify that the information in the transaction (Detail Record) is existing enrollment data for the beneficiary. The MBD will then perform the following steps:

- Update (replace) the beneficiary's prescription drug coverage field values for the election period with the 4Rx field values supplied on the transaction (Detail Record); MBD will not be keeping history of any changes to these fields.
- Create a Detail Record to be returned to the Sending Entity in a 4Rx Response File as specified in Appendix E, 4Rx Response File/Record Formats.
- Assign values to the Match Flag fields as defined in Appendix E.
- Set the Processed Flag in the 4Rx Response (Detail Record) to “Y.”

It should be noted that if the Rx PCN, Rx ID, and/or Rx Group field on the incoming transaction contains all spaces, the associated field(s) on the beneficiaries' MBD record will be overlaid with all spaces. A beneficiary will be updated with 4Rx values found upon a given transaction provided in the 4Rx Notification File if the beneficiary has been matched successfully and the PBP Enrollment has been found successfully.

If the MBD is *unsuccessful in locating* (i.e. unsuccessful in verifying Medicare entitlement for) the beneficiary on the database tables, or if the 4Rx Notification Transaction (Detail Record) contains one or more critical errors (e.g. a critical field is invalid), then the MBD will perform the following steps:

- Create a Detail Record to be returned to the Sending Entity in a 4Rx Response File containing the data fields as specified in *Appendix E, 4Rx Response File/Record Formats*.
- Assign values to the Match Flag fields as defined.
- Set the Processed Flag in the 4Rx Response (Detail Record) to "N."

The error conditions that could prevent a 4Rx Notification Transaction from being processed by the MBD are described in *Appendix H, Codes*.

The 4Rx Response File will conform to the file naming conventions as explained in *Section 2, Communicating with CMS*, and *Appendix J, All Transmissions Overview*.

The 4Rx Response File will be issued to the Sending Entity in the same transmission mechanism that the Sending Entity had utilized to deliver the 4Rx Notification File to CMS. This mechanism is either through the Sterling Mailbox (GENTRAN) or through NDM (Connect Direct).

### **7.3 CMS to Plan/Monthly NRx File**

MBD creates and sends monthly NoRx files to Plans identifying all enrollees that do not currently have 4Rx information stored in CMS files. These files are sent the same time as the MARx full enrollment file (generally the third week of the month). The file layout CMS uses to inform Plans of the incomplete 4Rx information is the standard 4Rx Response File Format. To distinguish the difference between this file and a standard 4Rx Response File, a Detail Record Type containing a value of 'NRX' in positions 1-3 of the file layout indicates that the record is a request for the Plan to send CMS 4Rx information for the beneficiary. The file containing this information is transmitted to Plans using the same methodology that is used to transmit the normal 4Rx Response File.

The naming conventions are as follows: (XXXXXX = 5 Character Contract ID of sending entity). For more information on naming standards, refer to *Section 2, Communicating with CMS*, and *Appendix J, All Transmissions Overview*.

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## ***8: Accessing the MA-PD/Cost Plan Full Dual File***

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CMS will provide MA organizations and Cost Plans a monthly file of the Plan's enrollees who are full-benefit dual eligibles, for purposes of facilitating a beneficiary's enrollment into the Medicare Part D benefit. CMS will make the file available during the first week of each month. MA organizations and Cost Plans will retrieve the files the way they currently retrieve files from MMCS, i.e., off the mainframe. CMS will provide direction, at a later date, if this process changes.

The file name will be: P#MBD.#ADUA4.xxxxx.OUT.NOTIF.GnnnnV00, where "xxxxx" is the organization's five-character Contract ID number (i.e., starting with H, R, or 9, and followed by four numbers). The "nnnn" equals the exact generation of the file starting as 0001 and increasing by 1 for each execution of the full dual monthly process.

For more information on naming standards, refer to *Section 2, Establishing Communications with CMS*; *Appendix E, Record Layouts*; and *Appendix J, All Transmission Overview*.

More information may be found on the CMS website at the following location:  
<http://www.cms.hhs.gov/healthplans/letters/systemsletternumber3.pdf>.



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## **9: Cost Plan Auto-Enrollment Clarification**

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When a Cost Plan auto-enrolls a current full-benefit dual eligible member to a drug PBP, the Plan should submit a 71 transaction to move the member from the non-drug PBP to the drug PBP. Include the election type of "S" (Special Election Period) and Part D premium-related information.

If a full-benefit dual eligible current member (who has been auto-enrolled by the Plan to a drug PBP) elects to affirmatively decline auto-enrollment into the drug PBP (i.e., drop Part D), but stay in the Cost Plan, the Plan should submit a 71 transaction to move the member from the drug PBP back to the non-drug PBP.

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## ***10: Reporting Coordination of Benefits (COB) Data***

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CMS will provide Coordination of Benefits (COB) information for Plan's enrollees via the record layouts in this section. This file can be provided as often as daily but it will contain only members for whom there is COB information available. For each member on the file, there can be multiple records associated with primary and supplemental insurers. This section also defines the order of the records in the file.

## 10.1 COB File Data Element Definitions and Instructions for Part D Plans

This section defines and provides instructions on the use of data elements found in the COB file formats. The COB file contains the Other Health Insurance (OHI) information of enrollees in that Part D Plan. The OHI information contained in the COB File has been collected by the COB Contractor through its VDSAs, COBAs, and other data exchanges with non-Part D payers (PBMs, insurers, Employer GHP sponsors, State programs); questionnaires filled out by beneficiaries, employers, and providers; and from leads submitted from Part D Plans and other Medicare contractors. The information collected by the COB Contractor and provided to the Part D Plan is meant to assist the Part D Plan in fulfilling its requirement to coordinate with OHI.

The COB File consists of a Detail (DTL) record identifying the Plan's Contract Number, the PBP number, and identifying information for the enrollee whose OHI is contained in the records attached to the DTL record. Two types of records may be subordinate (attached) to the DTL record: up to twenty (20) Primary (PRM) records and up to twenty (20) Supplemental (SUP) records. PRM records contain OHI that is primary to Plans. "Primary" does not necessarily refer to a single primary insurance, but to all occurrences of insurance that are statutorily required to pay prior to (primary to) Plans. There may be multiple occurrences of primary insurance. Each occurrence of primary insurance will be contained in PRM records subordinate to the DTL record. SUP records contain all supplemental insurance that pays after (supplemental to) Part D. Each occurrence of supplemental insurance will be contained in SUP records subordinate to the DTL record.

The COB File will contain full-record replacements for enrollees with newly discovered or changed OHI. If an enrollee's OHI record has been added, changed, or deleted, this will trigger a full replacement of that enrollee's DTL and subordinate PRM and SUP records. The Plan will replace its entire existing OHI profile for an enrollee with the most recent DTL and subordinate PRM and SUP records for that enrollee.

The MBD sends the COB File to Plans via the MARx system. The COB File is automatically sent to Plans when, at enrollment, the MBD already contains OHI information on that enrollee. For instance, if an individual has OHI, disenrolls from Plan A, and then enrolls in Plan B, all of the OHI that the MBD held and had previously sent to Plan A will automatically be sent to Plan B in the COB File.

<b>Note</b>
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<i>When the beneficiary disenrolls from Plan A, Plan A will no longer receive updates for the beneficiary.</i>
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The COB File will be sent out to Plans as the COB Contractor collects OHI and applies records to the MBD. This can occur as often as daily. The Plan may or may not receive the COB File daily, and if it does it will only receive records for enrollees with changed or newly discovered OHI. Most of the data exchanges that the COB Contractor administers for CMS are on a

monthly frequency. Each data exchange partner has a unique submission schedule. The COB Contractor can receive file submissions from data exchange partners on any given day. The COB Contractor conducts development (phone calls and mailed questionnaires) on a continual basis. The COB Contractor may apply records originating from development or data exchanges to the MBD any day. As soon as the records are applied to the MBD, the COB File will be sent to the Plan of the enrollee with OHI.

The Plan will use the elements contained in the PRM and SUP records to make payment determinations, recover mistaken payments, identify whether or not payments made by OHI count towards TrOOP, and to populate the reply to the pharmacy.

The CMS is currently drafting specific guidelines for secondary payments by Part D Plans and recovery of mistaken payments made by the Plan when another insurance was statutorily required to make primary payment. The Medicare Secondary Payer (MSP) rules can be found at 42 U.S.C. § 1395y(b). Under provisions found in § 1860D-2(a) (4) of the MMA, the MSP rules have been incorporated in the MMA and are applicable to Plans as payers of Medicare benefits and to non-GHP and non-GHP prescription drug payers that meet the MSP rules.

In some cases, the Plan will make mistaken primary payments (if the COB Contractor, CMS, and the Plan are all unaware of any primary coverage). Under other circumstances, the Plan will make conditional payments. These circumstances include:

- When the Plan is aware that the enrollee has WC/no-fault/liability coverage but does not know whether the drugs for which a bill is sent are related to the WC/no-fault/liability incident;
- When the Plan has learned of potential primary coverage and has sent information to the COBC for development and *it chooses to wait for validation* before considering itself a secondary payer. Note that this option is entirely up to the Plan; it may act as a secondary payer immediately or wait for validation, depending upon how confident it is that the information it received is valid;
- When the Plan is aware that the primary Worker's Compensation (WC)/no-fault/liability coverage applies but the primary payer will not make prompt payment.

When these mistaken or conditional primary payments are made, the Part D Plan *is required to* recover the primary payment from the relevant employer, insurer, WC/no-fault/liability carrier, or enrollee. The Plan will also be subject to audit or reporting requirements. CMS is currently writing and will shortly publish further guidance on these and other Medicare Secondary Payer procedures.

## 10.2 PRM Record Layout Elements

OHI contained in the PRM record is primary to (pays before) Medicare. The following are definitions and instructions on the use of elements contained in the PRM record layout. Some of the PRM record layout elements are the same as elements contained in the SUP record layout (\* indicates that the element is found in both), but may have slightly different definitions and instructions. Not all element fields will be populated, depending on the information that the COB Contractor possesses when it applied the record to the MBD.

<b>Note</b>
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CMS will provide guidance for recoveries of payments that are mistakenly made to Plans.
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### **RxID Number\***

The NCPDP standard Rx Identification Number used for network drug benefit of the primary insurance. The PDP displays this in the reply to the pharmacy. It may be used to identify an individual in the recovery of mistaken payments.

### **RxGroup Number\***

The NCPDP standard Rx Group Number used for network drug benefit of the primary insurance. The PDP displays this in the reply to the pharmacy. It may be used to identify an individual in the recovery of mistaken payments.

### **RxBIN Number\***

The NCPDP standard International Benefit Identification Number used for network drug benefit routing of the primary insurance. The PDP displays this in the reply to the pharmacy. It may be used to identify an individual in the recovery of mistaken payments.

### **RxPCN Number\***

The NCPDP standard Processor Control Number used for network drug benefit routing of the primary insurance. The PDP displays this in the reply to the pharmacy. It may be used to identify an individual in the recovery of mistaken payments..

### **Rx Plan Toll Free Number\***

The help desk number of the primary insurance provider. The PDP displays this in the reply to the pharmacy.

**Sequence Number\***

The unique identifier for the primary PRM occurrence. This may be used to identify the PRM occurrence when inquiring about a record to the COB Contractor.

**COB Source Code\***

The code for the COB Contractor, Common Working File (CWF), and MBD are used to identify which process the COB Contractor received primary insurance information from. This may be used for customer service and when inquiring about a record to the COB Contractor.

**MSP Reason**

The reason for Medicare Secondary Payer, i.e., why the insurance is primary to Medicare. For GHP MSP Reason codes (A, B, G), the Plan rejects primary payment. The GHP is statutorily required to make primary payment. The Plan makes secondary payment. For non-GHP MSP Reason codes (C, D, E, F, H, I, L), the Plan makes conditional primary payment, as these MSP types may be incident related, so without a diagnosis code the D Plan can not determine whether or not the non-GHP insurance is primary for that particular claim, unless the Plan is certain that the claim is related to the incident. If the Part D Plan is certain that the claim is incident related, and that primary insurance for this incident exists, it should reject primary payment in the same way it rejects GHP MSP primary insurance. If the Plan makes a conditional primary payment, it must reconcile with the non-GHP insurance post POS.

**Coverage Code\***

Identifies whether the coverage offered by the primary insurance is a network drug or non-network drug benefit. When the primary insurance is a network drug benefit coverage type (U), the record will include routing information (BIN and PCN, when available). When the primary insurance is a non-network drug benefit coverage type (V & Z) the Group and Individual Policy Number Fields may be populated.

**Insurer's Name\***

The name of the primary insurance carrier. It may be used in the recovery of mistaken payments.



**Insurer's Address-1\***

**Insurer's Address-2\***

**Insurer's City\***

**Insurer's State\***

**Insurer's Zip Code\***

The address, city, state, and zip code of the primary insurance carrier. It may be used in the recovery of mistaken payments. CMS will provide guidance for recoveries to Plans.

**Insurer TIN**

The Tax Identification Number (TIN) of primary insurance carrier. It may be used in the recovery of mistaken payments.

**Individual Policy Number\***

The Individual Policy Number used for non-network drug benefit primary insurance. The Plan uses this to identify non-network drug benefit primary insurance. It may be used to identify an individual in the recovery of mistaken payments.

**Group Policy Number\***

The Group Policy Number used for non-network drug benefit primary insurance. The Plan uses this to identify non-network drug benefit primary insurance. It may be used to identify an individual in the recovery of mistaken payments.

**Effective Date\***

The MSP start date. For MSP types D, E, L it identifies the date of the accident, illness, or injury or the Medicare entitlement date (whichever is earlier).

**Termination Date\***

MSP end date. Identifies whether or not the primary insurance has terminated. If the insurance is open, the field will be populated with all zeros.

**Relationship Code\***

Relationship to primary insurance policyholder used for MSP determinations.

01=Self

02=Spouse

03=Child

04=Other

**Payor ID\***

Future

**Person Code\***

The NCPDP standard Person code the Plan uses to identify specific individuals on the primary insurance policy. Used for routing of network drug benefit. The Plan displays this in the reply to the pharmacy. It may be used in the recovery of mistaken payments.

**Payer Order\***

The order of payment for primary insurance. The Plan displays in the reply to the pharmacy in order according to Payment Order Indicator. The lowest number in ascending order (001 to 400) is the first primary insurance to be displayed in the reply to the pharmacy. OHI with a payment order less than 401 will be displayed prior (primary to) to the Plan. The rules that the COB Contractor will use to assign the Payer Order are attached for reference.

**Policy Holder's First Name**

The first name of the primary GHP (MSP Types: A, B, G) insurance policy holder. It may be used in the recovery of mistaken payments.

**Policy Holder's Last Name**

The Last name of the primary GHP (MSP Types: A, B, G) insurance policy holder. It may be used to identify an individual in the recovery of mistaken payments.

**Policy Holder's SSN**

The SSN of the primary GHP (MSP Types: A, B, G) insurance policy holder. It may be used to identify an individual in the recovery of mistaken payments.

**Employee Information Code**

Not used.

**Employer's Name**

The name of Employer sponsor of primary GHP (MSP Reason codes: A, B, G) insurance. It may be used in the recovery of mistaken payments.

**Employer's Address 1**  
**Employer's Address 2**  
**Employer's City**  
**Employer's State**  
**Employer's Zip Code**

The address, city, state, and zip code of the Employer sponsoring the primary GHP (MSP Reason codes: A, B, G) insurance. It may be used in the recovery of mistaken payments.

**Claim Diagnosis Code 1**  
**Claim Diagnosis Code 2**  
**Claim Diagnosis Code 3**  
**Claim Diagnosis Code 4**  
**Claim Diagnosis Code 5**

ICD-9-CM Diagnosis code – *International Classification of Diseases, 9th Edition, Clinical Modification*. Official system of assigning codes to diagnoses and procedures associated with hospital utilization in the U.S. National Center for Health Statistics and CMS are the U.S. governmental agencies responsible for overseeing all changes to the ICD-9-CM. No instructions available at this time.

**Attorney's Name**

The name of the attorney handling the incident related case (MSP Types D: Automobile Insurance, No Fault, E: Workers' Compensation, L: Liability) for the enrollee. It may be used in the recovery of mistaken payments.

**Attorney's Address 1**  
**Attorney's Address 2**  
**Attorney's City**  
**Attorney's State**  
**Attorney's Zip**

The address of the attorney. It may be used in the recovery of mistaken payments.

**Lead Contractor**

The assigned lead Medicare claims payment contractor responsible for developing, tracking and recovering Medicare payments made where the enrollee received payments from a liability insurer. It may be used in the recovery of mistaken payments.

**Class Action Type**

Assigned where liability case is a class action lawsuit involving more than one Medicare beneficiary.

**Note**

CMS is developing payment and recovery rules for Worker's Compensation Set-Asides (CWSA).

**Administrator Name**

The administrator of Workers' Compensation (WC) Set-Aside Settlement that CMS will bill for payment of future claims related to the incident that allowed the enrollee to receive WC benefits.

**Administrator Address 1**

**Administrator Address 2**

**Administrator City**

**Administrator State**

**Administrator Zip**

The address, city, state, and zip code of the WC Set-Aside Settlement.

**WCSA Amount**

Worker's Compensation Set-Aside Amount.

**WCSA Indicator**

Worker's Compensation Set-Aside Indicator.

A= Approved

D= Denied

P = Pending

Z = Zero set aside amount

### **10.3 SUP Record Layout Elements**

OHI contained in the SUP record is supplemental to (pays after) the Plan. The following are definitions and instructions on the use of elements contained in the SUP record layout. Some of the SUP record layout elements are the same as elements contained in the PRM record layout, but may have slightly different definitions and instructions. Not all element fields will be populated, depending on the information that the COB Contractor possesses when it applied the record to the MBD.

#### **RxID Number\***

The NCPDP standard Rx Identification Number used for network drug benefit of the supplemental insurance. The Plan displays this in the reply to the pharmacy.

#### **RxGroup Number\***

The NCPDP standard Rx Group Number used for network drug benefit of the supplemental insurance. The Plan displays this in the reply to the pharmacy.

#### **RxBIN Number\***

The NCPDP standard International Benefit Identification Number used for the network drug benefit routing of supplemental insurance. The Plan displays this in the reply to the pharmacy.

#### **Rx Plan Toll Free Number\***

The help desk number of the pharmacy benefit. The Plan displays this in the reply to the pharmacy.

#### **Sequence Number\***

The unique identifier for the supplemental SUP occurrence. This may be used to identify the SUP occurrence when inquiring about a record to the COB Contractor.

#### **COB Source Code\***

The code the COB Contractor, CWF, and MBD use to identify which process the COB Contractor received supplemental insurance information. This may be used for customer service and when inquiring about a record to the COB Contractor.

### **Supplemental Type Code**

The type of supplemental insurance contained in the record. The Plan will use this to determine if the payments made by this supplemental insurance counts towards TrOOP or not. Supplemental Insurance Type Codes P (PAP), Q (SPAP), R (Charity) count towards TrOOP. All other codes do not count towards TrOOP.

### **Coverage Code\***

Identifies whether the drug benefit offered by supplemental insurance is a network drug or non-network drug benefit. When the supplemental insurance is a network drug benefit coverage type (U), the record will include routing information (BIN and PCN, when available). When the supplemental insurance is a non-network drug benefit coverage type (V & Z) the Group and Individual Policy Number Fields will be populated.

### **Insurer's Name\***

The name of the supplemental insurance carrier. The PDP uses this to identify supplemental insurance carrier.

### **Insurer's Address-1\***

### **Insurer's Address-2\***

### **Insurer's City\***

### **Insurer's State\***

### **Insurer's Zip Code\***

The address, city, state, and zip code of the supplemental insurance carrier. This may be used for customer service.

### **Individual Policy Number\***

The Individual Policy Number used for non-network drug benefit supplemental insurance. The Plan uses to identify non-network drug benefit supplemental insurance.

### **Group Policy Number\***

The Group Policy Number used for non-network drug benefit supplemental insurance. The Plan uses to identify non-network drug benefit supplemental insurance.

### **Effective Date\***

The supplemental insurance start date.

**Termination Date\***

The supplemental insurance end date. Identifies whether or not the supplemental insurance has terminated. If the insurance is open, the field will be populated with all zeros.

**Relationship Code\***

Relationship to supplemental insurance policyholder. No instructions at this time.

**Payor ID\***

Future

**Person Code\***

The NCPDP standard Person code the supplemental insurance uses to identify specific individuals on the supplemental insurance policy. Used for routing of network drug benefit. The Plan displays this in the reply to the pharmacy.

**Payer Order\***

The order of payment for supplemental insurance. The PDP displays in the reply to the pharmacy in order according to the Payment Order Indicator. The lowest number in ascending order (401 to 999) is the first supplemental insurance to be displayed in the reply to the pharmacy. OHI with a payment order greater than or equal to 401 will be displayed after (secondary/supplemental to) the PDP. The rules that the COB Contractor will use to assign the Payer Order are in **Table 10.3-1**.

**Table 10.3-1 Payment Order Rules**

Payment Order Range	Payment Type	MSP Reason	Supplemental Insurance Type	Coverage (to Medicare)
001 – 100	GHP w/ Patient Relationship= 1	A, B, G		Primary
101 – 200	GHP w/ Patient Relationship>= 2	A, B, G		Primary
201 – 300	Non-GHP	C, D, E, F, H		Primary
301 – 400	For Future Use			N/A
401 – 500	Secondary Insurer w/ Person Code = 1		L, M, O,	Secondary
501 – 600	Secondary Insurer w/ Person Code>= 2		L, M, O	Secondary
601 – 700	Federal Government Programs		T, 2	Secondary
701 – 800	ADAPs, PAPs, Charities		N, P, R, S	Secondary
801 – 900	SPAPs		Q	Secondary
901 – 999	Medicaid		1	Secondary

1. The 'Payment Order Indicator' will indicate payment ordering; the lowest number in ascending order (001 to 999) is the first coverage to be billed at the pharmacy.
2. All drug coverage with a payment order less than 401 will be billed (using the COB to MBD – Other Insurance PRM format) prior (primary to) to the Plan; all drug coverage with a payment order greater than or equal to 401 will be billed (using the COB to MBD – Other Insurance SUP format) after (secondary to) the Plan.
3. Employer Group Health Plans (EGHP) will include MSP Types A (Working Aged), B (ESRD) and G (Disabled). These will be applied payment orders in the 001 to 200 range.
4. Non-EGHP will include MSP Types D (Automobile Insurance, No Fault), E (Workers' Compensation), L (Liability) and H (Black Lung). These will have applied payment orders in the 201 to 300 range.
5. If there are two GHPs with a Patient Relationship Code of '1', the GHP with the earlier effective date shall go before the GHP with the later effective date.
6. If there are two GHPs with Patient Relationship Code of '1', and with the same effective date, the GHP with the first accretion date (validated against the date timestamp or DCN) shall go before the later accretion date.
7. If there are two GHPs with Patient Relationship Code of '2' or more, the GHP with the earlier effective date shall go before the GHP with the later effective date.



8. If there are two GHPs with Patient Relationship Code of '2' or more, and with the same effective date, the GHP with the first accretion date (validated against the date timestamp or DCN) shall go before the later accretion date.
9. If there are two insurers with Person Code of '1', the insurer with the first accretion date (validated against the date timestamp or DCN) shall go before the later accretion date.
10. If there are two insurers with Person Code of '2' or more, the insurer with the first accretion date shall go before the later accretion date.
11. If the record represents a supplemental insurer, the Insurance Type code shall determine the order. Within the list of Supplemental Types, those for Federal Government Programs shall take precedence over those for ADAPs, PAPs and Charities, which shall take precedence over those for SPAPs, which shall take precedence over Medicaid.