

Health Plan Management System

Part C Improper Payment Measure (IPM)

Module User Guide

Version: Plan User | Revised: October 2023

Centers for Medicare & Medicaid Services

Table of Contents

Table of Contents	1
Table of Figures.....	3
1. Introduction.....	4
2. Accessing & Navigating Part C IPM	4
Part C IPM User Access	4
How to Access Part C IPM	6
Navigation.....	6
Navigating HPMS.....	6
Navigating Part C IPM	7
3. Part C IPM Start Page.....	8
Dashboard.....	8
Select Sample.....	10
4. Sample Tabs	10
Overview Tab	11
Submission Tab & Process.....	12
Submission Tab - Contract and Enrollee Selection	12
Submission Tab - Enrollee Dashboard	14
Submission Tab – Submit Coversheet	18
Document Library Tab	25
Reports Tab	27
Complete Enrollee-HCC Report.....	27
Contract Submitter Summary Report	28

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Email History Report 29

HCC Outcomes Detail Report 32

5. **HPMS Contact Information**..... 33

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Table of Figures

Figure 1 – Part C IPM MA Organization User Access	5
Figure 2 – Accessing Part C IPM	6
Figure 3 – Navigation.....	7
Figure 4 – Part C IPM Dashboard.....	9
Figure 5 – Select Sample	10
Figure 6 – Overview Tab	11
Figure 7 – Submission Tab – Contract and Enrollee Selection.....	12
Figure 8 – Submission Tab – Contract and Enrollee Selection: Select Contract	13
Figure 9 – Submission Tab – Contract and Enrollee Selection: Enrollee Listing	14
Figure 10 – Submission – Enrollee Dashboard.....	15
Figure 11 – Submission INV Failure & Attestation Reasons Window	17
Figure 12 – Submission Tab – Submit Coversheet	19
Figure 13 – Submission Tab – Coversheet (without Documents to Attach)	20
Figure 14 – Submission Tab – Coversheet (with Documents to Attach)	23
Figure 15 – Coversheet PDF.....	24
Figure 16 – Document Library Tab.....	26
Figure 17 – Reports Tab.....	27
Figure 18 – Complete Enrollee-HCC Report.....	28
Figure 19 - Contract Submitter Summary Report.....	28
Figure 20 – Set Email History Report Parameters	29
Figure 21 – Email History Report.....	30
Figure 22 – Email Detail Window	31

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1. Introduction

In order to comply with the Payment Integrity Information Act of 2019 (PIIA), the Centers for Medicare & Medicaid Services (CMS) annually measures and reports a projected payment error rate for the Medicare Part C program. CMS conducts the annual Medicare Part C Improper Payment Measure (IPM) activity to validate the accuracy of risk adjustment data submitted by Medicare Advantage (MA) Organizations for the purpose of estimating the Part C error rate.

The Health Plan Management System (HPMS) Part C IPM module described in this document allows MA Organizations to submit Medical Records in support of CMS Hierarchical Condition Categories (CMS-HCCs). MA Organizations can also view CMS-provided documentation and reports through the module.

Note:

Data represented in the various example figures of this user guide is fictitious and displayed for illustration purposes only. No real-world data related to MA Organizations, beneficiary Protected Health Information (PHI), or beneficiary Personally Identifiable Information (PII) is included in this document.

2. Accessing & Navigating Part C IPM

Part C IPM User Access

The HPMS Part C IPM module allows MA Organization users to submit Medical Records in support of CMS-HCCs for enrollees selected for an IPM activity. To access the HPMS Part C IPM module, you must:

- ✓ Have a CMS EUA User ID with access to either the Part C Submission – Plan or Part C IPM Reports – Plan access types in HPMS (see [Figure 1](#)); and
- ✓ Have authorization to access to an MA Contract with enrollees sampled as part of the Part C IPM activity.

You can view which access types are assigned to your CMS ID by navigating to **User Resources** on the top right > **My Account** > **User Access Report**.

Figure 1 – Part C IPM MA Organization User Access

Access Type	Description	Available Functionalities
Part C IPM Submission – Plan	<ul style="list-style-type: none"> • Able to submit Medical Records for a sample. • Only able to access samples for which the user’s contract has been selected. 	<ul style="list-style-type: none"> • Select Sample • Documentation • Submission tab (<i>Upload Medical Records only</i>) • Document Library tab
Part C IPM - Document Library - CEO and Compliance Officer Only	<ul style="list-style-type: none"> • Able to view CEO/MCO files from the Document Library for assigned contracts. • CEOs and Medicare Compliance Officers only. • Only able to access samples for which the user’s contract has been selected. 	<ul style="list-style-type: none"> • Select Sample • Documentation • Document Library tab
Part C IPM Reports – Plan	<ul style="list-style-type: none"> • Able to view Part C IPM Reports (available data restricted by user access). • Only able to access samples for which the user’s contract has been selected. 	<ul style="list-style-type: none"> • Select Sample • Documentation • Reports tab • Document Library tab

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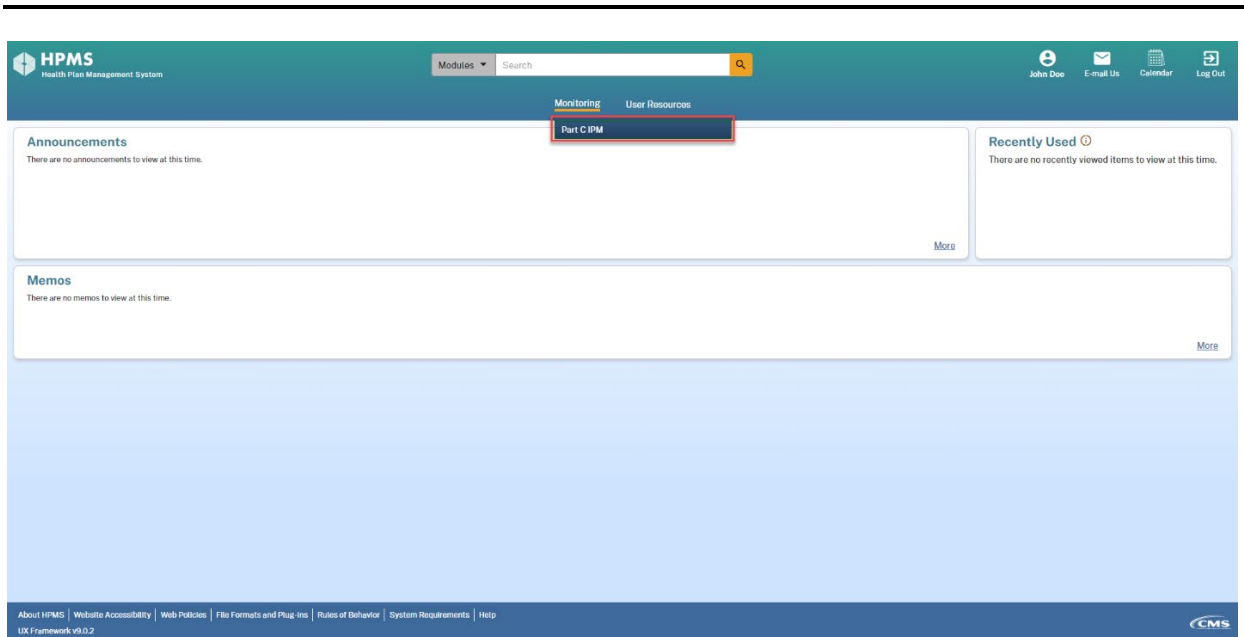
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How to Access Part C IPM

To access the Part C IPM module:

1. From the HPMS home page, click on the **Monitoring** tab in the HPMS top navigation bar.
2. Select the **Part C IPM** menu item ([Figure 2](#)) to be directed to the Part C IPM Start Page. (See the [Part C IPM Start Page](#) section below.)

Figure 2 – Accessing Part C IPM

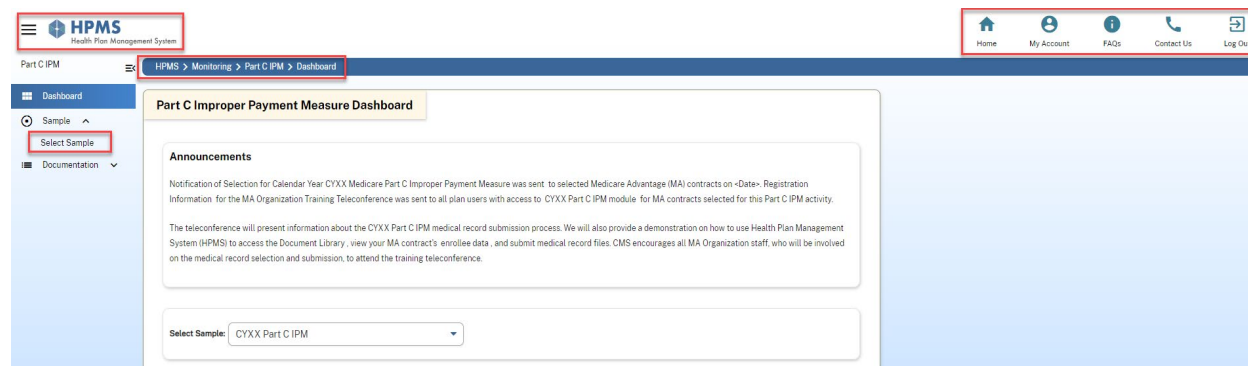


Navigation


Navigating HPMS

HPMS has a toolbar with standard links which allow you to navigate within the Health Plan Management System ([Figure 3](#)).

Figure 3 – Navigation



Within each HPMS module (including Part C IPM), the following navigation icons can be found across the top of each page:

- **HPMS Menu**  : Access other HPMS modules or resources.
- **HPMS Logo**: Return to the HPMS homepage.
- **Home**: Return to the HPMS homepage.
- **My Account**: View and manage HPMS user account information.
- **FAQs**: View frequently asked questions related to HPMS.
- **Contact Us**: Contact the HPMS Help Desk.
- **Log Out**: Log out of HPMS.

Each page within HPMS also contains breadcrumb links, which can be found directly below the top navigation icons. Selecting a breadcrumb link returns you directly to the corresponding page.

➤ ***Note:** To prevent data loss, avoid using the back button on your browser. Instead, use the navigational toolbars/menus or breadcrumb links on each page to navigate within HPMS and the Part C IPM module.*

Navigating Part C IPM

Within the Part C IPM module, a collapsible module navigation menu is available on the left side of each page ([Figure 3](#)).

The Part C IPM Module Navigation Menu offers the following options:

- **Dashboard**: Access the Part C IPM Dashboard.
- **Sample**: Select and access existing samples. The samples available are based on your assigned access level and associated contract(s).
- **Documentation**: View or download the System User Guide.

3. Part C IPM Start Page

From the Part C IPM start page, you can access the module navigation menu and the Part C IPM Dashboard.

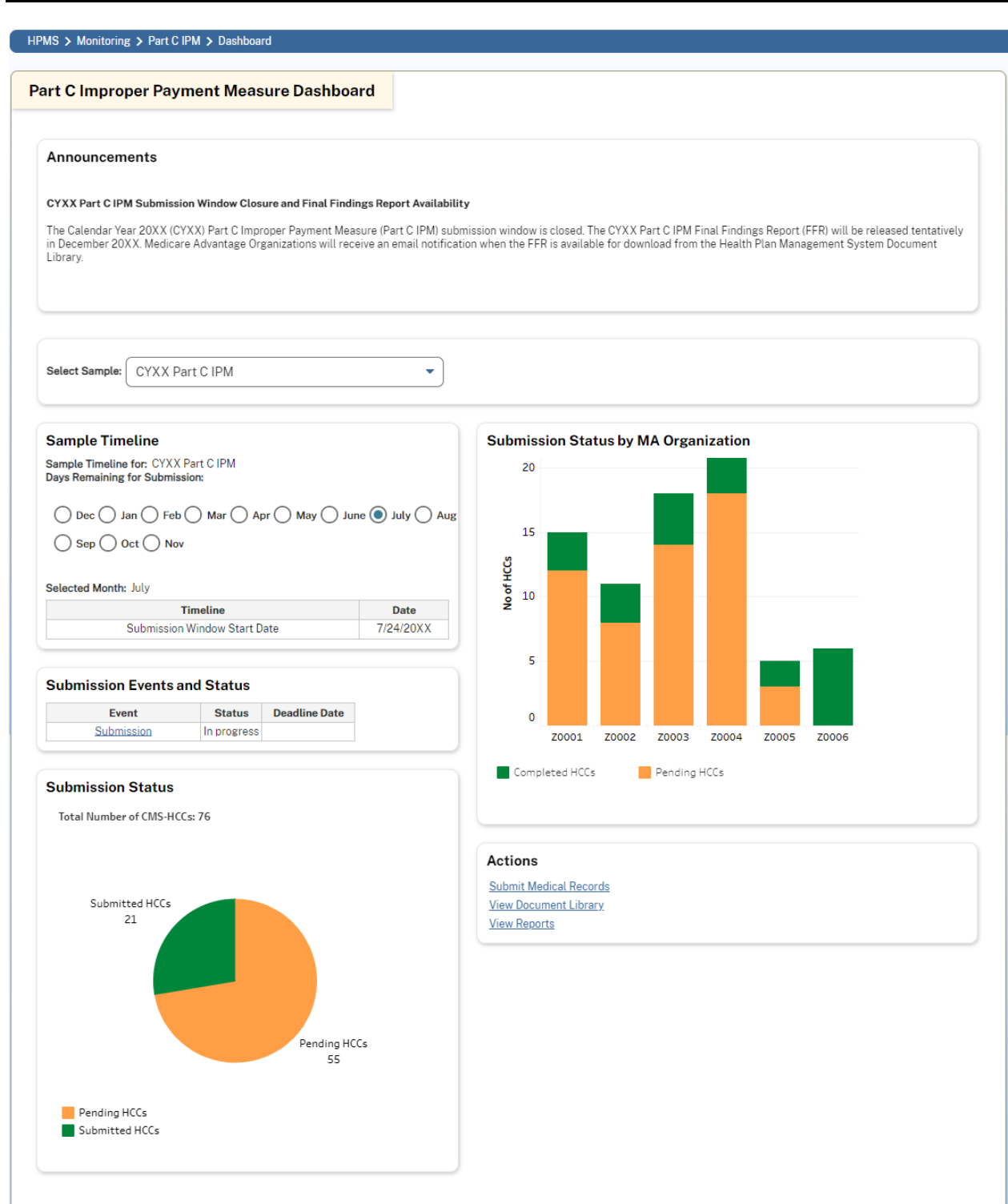
Dashboard

The Part C IPM Dashboard ([Figure 4](#)) displays key information related to the Part C IPM audit such as announcements, timelines, and submission status. Based on your contract access, the dashboard will also display widgets to represent the submission status for your MA Organization.

Dashboard features include:

- **Announcements:** Displays any active announcements pertaining to the Part C IPM module.
- **Select Sample:** Choose which sample is displayed on the dashboard.
- **Sample Timeline:** Displays major monthly milestones for a selected sample. (E.g. Submission Start Date, Submission Deadline Date, Final Findings Report, release dates, etc.)
- **Submission Events and Status:** Displays the submission window dates and status.
- **Submission Status:** Displays the submission status of the sampled enrollee CMS-HCCs, including:
 - Total number of ESRD V21 CMS-HCCs plus V24 CMS-HCCs for the user's assigned MA contracts.
 - Total number of ESRD V21 CMS-HCCs plus V24 CMS-HCCs submitted.
 - Total number of ESRD V21 CMS-HCCs plus V24 CMS-HCCs pending submission.
- **Submission Status by MA Organization:** Displays the submission status of the sampled contracts for your organization. This includes the total number of CMS-HCCs submitted and pending per contract.
- **Actions:** Provides links to the Submission, Document Library, and Reports tabs (if applicable for the current sample).

Figure 4 – Part C IPM Dashboard



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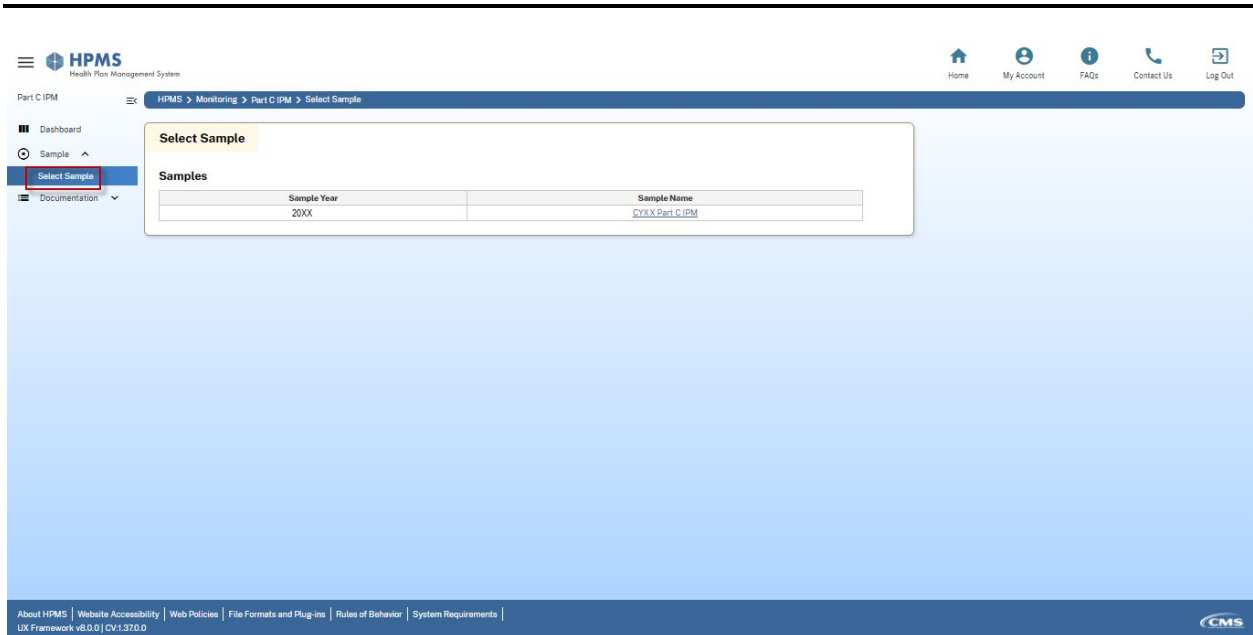
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Select Sample

The Select Sample tool ([Figure 5](#)) provides the ability to select and access available Part C IPM samples. Only samples for which your MA Contract(s) is selected will be displayed.

Figure 5 – Select Sample



To select a sample:

1. In the Part C IPM start page, choose **Sample > Select Sample** from the left-side navigation menu. A list of available samples will be displayed.
2. Choose the applicable **Sample Name** link to access and view the selected sample.

➤ ***Note:** Only one sample can be active at a time. Older samples may be displayed for reference purposes only.*

4. Sample Tabs

After selecting a sample, you'll have access to a variety of information related to the audit; this information is organized throughout multiple sample tabs.

To view or update information related to the Part C IPM activity for the selected sample, choose one of the tabs outlined below.

Overview Tab

The Overview tab (Figure 6) provides a high-level summary of the selected sample and includes:

- **Sample Details:** Displays the sample year and name.
- **Sample Schedule:** Displays the submission start date and deadline date. Any extensions to the submission deadline will also appear here.
- **Submission Status:** Displays the status of submissions made for the sampled contracts. This includes the total number of enrollee CMS-HCCs (ESRD V21 CMS-HCCs plus V24 CMS-HCCs) for the user's assigned contracts, submissions made, and pending submissions.
- **Sample Contracts:** Displays a list of the contracts selected for the sample.

Figure 6 – Overview Tab

The screenshot displays the HPMS (Health Plan Management System) interface. The breadcrumb trail is: HPMS > Monitoring > Part C IPM > Select Sample > Sample Overview. The left sidebar shows navigation options: Dashboard, Sample (selected), Select Sample, and Documentation. The main content area is titled "Sample Overview" and has four tabs: Overview (highlighted with a red box), Submission, Document Library, and Reports. The Overview tab contains three summary boxes: "Sample Details" (Sample Year: 20XX, Sample Name: CYXX Part C IPM), "Sample Schedule" (Submission Start Date: 07/21/20XX, Submission Deadline: 8/21/20XX), and "Submission Status" (# of CMS-HCCs Total: 76, # of CMS-HCCs Submitted: 21, # of CMS-HCCs Pending: 55). To the right is a "Sample Contracts" table with a "View PHI/PII Disclaimer" link. The table lists three contracts: Z0001 (TEST CONTRACT 1), Z0002 (TEST CONTRACT 2), and Z0003 (TEST CONTRACT 3).

Contract ID	Contract Name
Z0001	TEST CONTRACT 1
Z0002	TEST CONTRACT 2
Z0003	TEST CONTRACT 3

11

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Submission Tab & Process

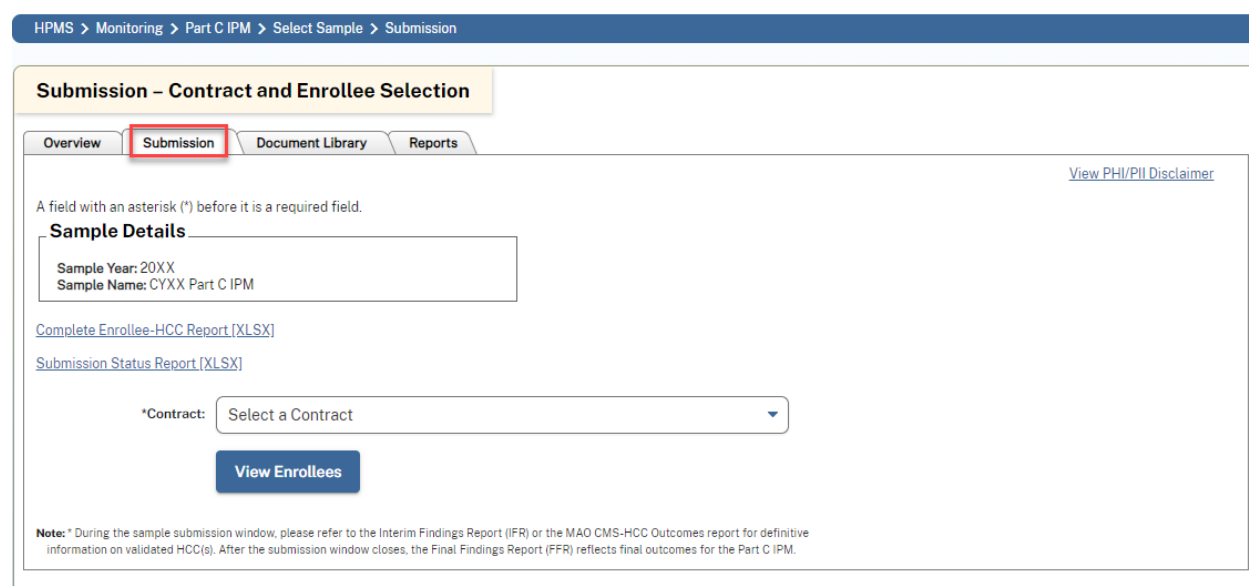
The Submission tab allows users with *Part C IPM Submission – Plan* access to upload Medical Records and substantiate CMS-HCCs during the open submission window. This tab is only accessible once the submission window has opened.

Submission Tab - Contract and Enrollee Selection

After selecting the Submission tab, you will be navigated to the Contract and Enrollee Selection page ([Figure 7](#)), where you can view the enrollees for each applicable contract and select an enrollee to submit Medical Records for.

Additionally, you can also view an Excel report of all contracts, enrollees, and CMS-HCCs selected for this Part C IPM activity by clicking the **Complete Enrollee – HCC Report [XLSX]** link. To view the status of completed submissions, click the **Submission Status Report [XLSX]** link. The Submission Status Report also indicates whether the submission includes a Medical Record (*MR*) and attestation (*MR+ATT*).

Figure 7 – Submission Tab – Contract and Enrollee Selection



To view a contract and select an enrollee:

1. Select a Contract ID from the 'Contract' dropdown ([Figure 8](#)).

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Figure 8 – Submission Tab – Contract and Enrollee Selection: Select Contract

HPMS > Monitoring > Part C IPM > Select Sample > Submission

Submission – Contract and Enrollee Selection

Overview **Submission** Document Library Reports

[View PHI/PII Disclaimer](#)

A field with an asterisk (*) before it is a required field.

Sample Details

Sample Year: 20XX
Sample Name: CYXX Part C IPM

[Complete Enrollee-HCC Report \[XLSX\]](#)
[Submission Status Report \[XLSX\]](#)

*Contract:

- Select a Contract
- Z0001-TEST CONTRACT 1
- Z0002-TEST CONTRACT 2
- Z0003-TEST CONTRACT 3

Note: * During the sample submission window, please refer to the Interim Findings Report (IFR) or the MAO CMS-HCC Outcomes report for definitive information on validated HCC(s). After the submission window closes, the Final Findings Report (FFR) reflects final outcomes for the Part C IPM.

2. Click the **View Enrollees** button to view the enrollee listing table ([Figure 9](#)). This table includes the following columns:

- **Action:** Displays a **Select** link to view the Enrollee Dashboard for the selected enrollee.
- **Enrollee ID:** Displays the enrollee’s Part C IPM Enrollee ID.
- **Enrollee Name:** Displays the enrollee’s last name and first name.
- **Total Number of CMS-HCC(s):** Displays the total number of ESRD V21 CMS-HCCs plus V24 CMS-HCCs for the enrollee in the sample.
- **Total Number of CMS-HCC(s) Pending:** Displays the number of ESRD V21 CMS-HCCs plus V24 CMS-HCCs for which no submissions have been made.
- **Validity Issues with Any Submission (Yes / No):** Displays ‘Yes’ if any of the submissions have been determined to be invalid; displays ‘No’ if no submissions have been determined to be invalid.

➤ **Note:** *If any submission has been deleted due to a PHI/PII policy violation (e.g., the submission included information for another individual not in the sample), the ‘Validity Issues with Any Submission’ column will display a ‘1’ as a superscript. This indicates that the submission was flagged as a PHI/PII breach and was deleted. In this case, only the coversheet data will be available to view. The Plan will be notified if this occurs.*

Figure 9 – Submission Tab – Contract and Enrollee Selection: Enrollee Listing

HPMS > Monitoring > Part C IPM > Select Sample > Submission

Submission – Contract and Enrollee Selection

Overview | **Submission** | Document Library | Reports

[View PHI/PII Disclaimer](#)

A field with an asterisk (*) before it is a required field.

Sample Details

Sample Year: 20XX
Sample Name: CYXX Part C IPM

[Complete Enrollee-HCC Report \[XLSX\]](#)
[Submission Status Report \[XLSX\]](#)

*Contract: Z0001-TEST CONTRACT 1

View Enrollees

Action	Enrollee ID ▲	Enrollee Name ◆	Total Number of CMS-HCC(s) ◆	* Total Number of CMS-HCC(s) Pending ◆	Validity Issue with Any Submission (Yes/No) ◆
Select	111111_1	Doe, John	3	3	No
Select	111111_2	Doe, John	4	4	No
Select	111111_3	Doe, John	3	2	No
Select	111111_4	Doe, John	5	5	No

Note: * During the sample submission window, please refer to the Interim Findings Report (IFR) or the MAO CMS-HCC Outcomes report for definitive information on validated HCC(s). After the submission window closes, the Final Findings Report (FFR) reflects final outcomes for the Part C IPM.

† Medical Record deleted due to PHI/PII. Only the Coversheet is available to view.

- Under the ‘Action’ column of the enrollee listing table, click the **Select** link for the enrollee to select the enrollee, view the Enrollee Dashboard, and submit Medical Records.

Submission Tab - Enrollee Dashboard

Once an enrollee is selected, the Enrollee Dashboard page will appear. The Enrollee Dashboard ([Figure 10](#)) provides details on the sampled enrollee as well as the ability to view any completed submissions and submit new Medical Records.

Figure 10 – Submission – Enrollee Dashboard

HPMS > Monitoring > Part C IPM > Select Sample > Submission

Submission – Enrollee Dashboard

Overview **Submission** Document Library Reports

[View PHI/PII Disclaimer](#)

A field with an asterisk (*) before it is a required field.

Sample Details

Sample Year: 20XX
Sample Name: CYXX Part C IPM

Enrollee Dashboard

Contract Information

Contract Name: TEST CONTRACT 1
Current Contract ID: Z0001
Sample Year Contract ID: Z0001

Enrollee Information

Enrollee ID: 111111_7
MBI: 1A82CD3EF45
DOB: 11/01/1907
Last Name: Doe
First Name: John
ESRD Bene: Yes

[Select Different Enrollee](#)

ESRD V21 CMS-HCC	V24 CMS-HCC	Submitted (Yes/No)	Submission Count
HCC111	HCC111	Yes	1
HCC115	HCC115	Yes	1
HCC27	HCC27	Yes	1

Total Number of CMS-HCC(s)	6
Total Number of CMS-HCC(s) Pending	0

[New Submission for Enrollee](#)

Completed Submissions

ESRD V21/V24 CMS-HCCs	Submission Date	Coversheet ID	Documents Submitted	Submitted File	Submitted By	Submission Valid (Yes/No)
HCC111/HCC111	8/8/20XX 8:30:00 AM	Z0001_111111_7_38824	MR + ATT	Test Medical Record.pdf [View PDF]	Doe, Jane	No
HCC27/HCC27	8/7/20XX 4:26:44 PM	Z0001_111111_7_38823	MR	Test Medical Record.pdf [View PDF]	Doe, Jane	Yes
HCC111/HCC111, HCC115/HCC115	8/7/20XX 4:15:01 PM	Z0001_111111_7_38822	No MR	N/A	Doe, Jane	N/A

† Medical Record deleted due to PHI/PII. Only the Coversheet is available to view.

The Enrollee Dashboard contains the following sections:

- **Sample Details:** Displays the sample year and name.
- **Contract Information:** Displays the Contract Name, Current Contract ID, and Sample Year Contract ID.
- **Enrollee Information:** Displays the Enrollee ID, MBI, DOB, last name, first name, and ESRD Bene (Yes or No) for the selected enrollee.

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- **CMS-HCC list:** Displays a table listing of all sampled ESRD V21 CMS-HCCs plus V24 CMS-HCCs for the enrollee. Includes a ‘Submitted (Yes/No)’ column to indicate whether the CMS-HCC has a submission made, and a ‘Submission Count’ column indicating the count of submissions for each HCC.
- **Total Number of CMS-HCC(s):** Displays the total number of ESRD V21 CMS-HCCs plus V24 CMS-HCCs for the enrollee.
- **Total Number of CMS-HCC(s) Pending:** Displays the total number of ESRD V21 CMS-HCCs plus V24 CMS-HCCs pending submission for the enrollee.
- **Completed Submissions:** Displays a table listing of any submissions made for the enrollee. Includes the following columns:
 - **ESRD V21 CMS-HCCs/V24 CMS-HCC(s):** Displays the total ESRD V21 CMS-HCCs and V24 CMS-HCCs for the submission.
 - **Submission Date:** Displays the date the submission was made.
 - **Coversheet ID:** Displays the Coversheet ID generated for the submission.
 - **Documents Submitted:** Indicates whether any documents were included with the submission:
 - *MR* indicates a submission with Medical Record attached.
 - *MR+ATT* indicates a submission with Medical Record and Attestation attached.
 - *No MR* indicates a submission with no Medical Record or Attestation attached.
 - **Submitted File:** Displays a link to view the submitted file along with the prepended Coversheet. For *No MR* submissions, no link will be displayed. If a file has been deleted due to a PHI/PII breach, a link to view only the Coversheet data will be displayed.
 - **Submitted By:** Displays the name of the user who created the submission.
 - **Submission Valid (Yes/No):** Indicates whether a submission has been determined to be Valid or Invalid.
 - If the submission is valid, the column will display ‘Yes’.
 - If the submission is invalid, the column will display ‘No’ as a hyperlink. (See below.)
 - If the submission is under review, the column will be blank.
 - If the submission is a *No MR* submission, column will display ‘N/A’.
 - If the submission was deleted due to PHI/PII policy violation, the column will display a superscript ‘1’. This indicates the submission has been flagged as a PHI/PII breach and was deleted. In this scenario, only the Coversheet data will be available to view.

Reviewing Invalid Submissions

If a completed submission has been determined to be invalid, the 'Submission Valid (Yes/No)' column in the 'Completed Submissions' table will display 'No' as a hyperlink. Selecting the hyperlink opens the Submission INV Failure & Attestation Invalid Reasons window (Figure 11) which displays the reasons for the invalid determination.

Figure 11 – Submission INV Failure & Attestation Reasons Window

HPMS Health Plan Management System

Print | Close
Print Date: 6/21/20XX

Submission INV Failure & Attestation Invalid Reasons for Enrollee ID: 111111_21 and Coversheet ID: Z0001_111111_21_32763

[View PHI/PII Disclaimer](#)

Coversheet ID	ESRD V21/V24 CMS-HCCs	INV Failure Reason(s)	INV Subcategories	Attestation Invalid Reason(s)
Z0001_111111_21_32763	NO HCC/HCC84	INV1-Wrong Record / No Name	INV1 - No patient name on the record submitted.	

The Submission INV Failure & Attestation Invalid Reasons window includes the following details:

- **Coversheet ID:** Displays the Coversheet ID for the Invalid submission.
 - **ESRD V21/V24 CMS-HCC(s):** Displays the CMS-HCC(s) selected for the Invalid submission.
 - **INV Failure Reason(s):** Displays the failure reason(s) identified.
 - **INV Subcategories:** Displays the Subcategory reason for each INV Failure Reason.
 - **Attestation Invalid Reason(s):** Displays the Attestation Invalid Reasons if the MR includes an attestation identified as Invalid. If no attestation is attached, the 'Attestation Invalid Reason(s)' column will be blank and only the associated 'INV Failure Reason(s)' column will be populated.
- **Note:** You may also view a consolidated list of submission invalid reasons for all invalid submissions for the enrollee by clicking the All Submission Failure Reasons hyperlink. Found directly above the 'Completed Submissions' table, this link only appears if at least one of the completed submissions for the selected enrollee has been determined to be invalid.

Using the Enrollee Dashboard

Several options are available from the Enrollee Dashboard:

- To select a different enrollee, click the **Select Different Enrollee** button to return to the ‘Contract and Enrollee Selection’ page.
- To open a PDF file of the Coversheet and Medical Record of an enrollee, click the link in the ‘Submitted File’ column of the ‘Completed Submissions’ table.
 - For submissions where no Medical Record file is attached, *N/A* will display in this column.
 - If a Medical Record has been deleted due to a PHI/PII breach, click **View Coversheet (MR Deleted)** to view the Coversheet details in a new window.
- To continue with the submission process, click the **New Submission for Enrollee** button to open the Submission – Submit Coversheet page for the enrollee.

Submission Tab – Submit Coversheet

The Submission – Submit Coversheet page ([Figure 12](#)) allows you to submit a coversheet with a Medical Record (*MR*), a Medical Record with Attestation (*MR+ATT*), or no Medical Record documents (*No MR*) for the designated enrollee CMS-HCC(s). The system will only allow PDF files to be uploaded.

Upon completing a submission, the system-generated coversheet is prepended to the submitted Medical Record file.

The Submission – Submit Coversheet page includes the following sections:

- **Sample Details:** Displays the sample year and name.
- **Contract Information:** Displays the Contract Name, Current Contract ID, and Sample Year Contract ID for the selected enrollee.
- **Enrollee Information:** Displays the Enrollee ID, MBI, DOB, last name, first name, and ESRD Bene (Yes or No) for the selected enrollee.
- **Designated CMS-HCCs:** Displays a table with one row for each ESRD V21 CMS-HCC and V24 CMS-HCC sampled for the enrollee. Columns include:
 - **ESRD V21 CMS-HCC:** Lists the ESRD V21 CMS-HCCs designated for the enrollee.
 - **V24 CMS-HCC:** Lists the V24 CMS-HCCs designated for the enrollee.
 - **Hierarchy:** Indicates the hierarchy of the CMS-HCC.

- **ESRD V21 ICD Codes:** Lists the ESRD V21 ICD codes designated for the enrollee.
- **V24 ICD Codes:** Lists the V24 ICD codes designated for the enrollee.
- **Submission Count:** Displays current submission count.

Figure 12 – Submission Tab – Submit Coversheet

HPMS > Monitoring > Part C IPM > Select Sample > Submission

Submission – Submit Coversheet

Overview **Submission** Document Library Reports [View PHI/PII Disclaimer](#)

A field with an asterisk (*) before it is a required field.

Sample Details

Sample Year: 20XX
Sample Name: CYXX Part C IPM

Coversheet

Contract Information

Contract Name: TEST CONTRACT 1
Current Contract ID: Z0001
Sample Year Contract ID: Z0001

Enrollee Information

Enrollee ID: 111111_7
MBI: 1AB2CD3EF45
DOB: 11/01/1907
Last Name: Doe
First Name: John
ESRD Bene: Yes

Designated CMS-HCC(s)

*Select	ESRD V21 CMS-HCC	V24 CMS-HCC	Hierarchy	ESRD V21 ICD Codes	V24 ICD Codes	Submission Count
<input type="checkbox"/>	HCC111	HCC111	Yes	J410, J440, J441, J449	J410, J440, J441, J449	1
<input type="checkbox"/>	HCC115	HCC115	Yes	J181	J181	1
<input type="checkbox"/>	HCC27	HCC27	Yes	I8500, I8501, I8510, I8511, K766, K767, K7041, K7111, K7201, K7210, K7211, K7290, K7291, K7681	I8500, I8501, I8510, I8511, K766, K767, K7041, K7111, K7201, K7210, K7211, K7290, K7291, K7681	1

***Document to be Attached**

No document will be attached for selected CMS-HCC(s)

Submit document for selected CMS-HCC(s)

Cancel

When no Medical Record is available for a HCC submission, submit a Coversheet with no Medical Record attached (*No MR*):

1. In the ‘Designated CMS-HCC’ table, check the box(s) for ESRD V21 CMS-HCC and V24 CMS-HCC applicable to this submission. You may designate multiple ESRD V21 CMS-HCCs and V24 CMS-HCCs for a single Coversheet.
2. Under ‘Document to be Attached’, select **No document will be attached for selected CMS-HCC(s)**. Upon selecting this option, a text box will be displayed ([Figure 13](#)). Enter the reason that no MR is being attached to the submission.

Figure 13 – Submission Tab – Coversheet (without Documents to Attach)

HPMS > Monitoring > Part C IPM > Select Sample > Submission

Submission – Submit Coversheet

Overview **Submission** Document Library Reports

[View PHI/PII Disclaimer](#)

A field with an asterisk (*) before it is a required field.

Sample Details

Sample Year: 20XX
Sample Name: CYXX Part C IPM

Coversheet

Contract Information

Contract Name: TEST CONTRACT 1
Current Contract ID: Z0001
Sample Year Contract ID: Z0001

Enrollee Information

Enrollee ID: 111111_7
MBI: 1AB2CD3EF45
DOB: 11/01/1907
Last Name: Doe
First Name: John
ESRD Bene: Yes

Designated CMS-HCC(s)

*Select	ESRD V21 CMS-HCC	V24 CMS-HCC	Hierarchy	ESRD V21 ICD Codes	V24 ICD Codes	Submission Count
<input type="checkbox"/>	HCC111	HCC111	Yes	J410, J440, J441, J449	J410, J440, J441, J449	2
<input type="checkbox"/>	HCC115	HCC115	Yes	J181	J181	0
<input type="checkbox"/>	HCC27	HCC27	Yes	I8500, I8501, I8510, I8511, K766, K767, K7041, K7111, K7201, K7210, K7211, K7290, K7291, K7681	I8500, I8501, I8510, I8511, K766, K767, K7041, K7111, K7201, K7210, K7211, K7290, K7291, K7681	0

***Document to be Attached**

No document will be attached for selected CMS-HCC(s)

* Provide a brief explanation detailing why medical record documentation will not be submitted for the selected CMS-HCCs. Select all applicable CMS-HCCs with missing documentation. If documentation is found during the submission window, you may generate a separate coversheet with documentation attached. Please note that CMS-HCCs without a valid MR submitted will be marked as discrepant: (Max 2000 characters)

Submit document for selected CMS-HCC(s)

Cancel Submit

3. Click the **Submit** button, then click **OK** to submit the Coversheet and return to the Enrollee Dashboard.
4. Submitted documents can be viewed from the ‘Completed Submissions’ table in the Enrollee Dashboard. The system-generated Coversheet ([Figure 15](#)) is prepended to the submitted Medical Record.

To submit a Coversheet with a Medical Record (MR) or a Medical Record with Attestation (MR + ATT) attached:

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1. In the ‘Designated CMS-HCC’ table, check the box(s) for each ESRD V21 CMS HCCs and V24 CMS-HCC(s) applicable to this submission.
 - *Note: For enrollees with multiple ESRD V21 CMS HCCs and/or V24 CMS-HCCs, you may have a Medical Record that validates more than one CMS-HCC. In this instance, one Coversheet can and should be used to validate multiple CMS-HCCs. When completing the Coversheet, please select all applicable CMS-HCCs and submit the Medical Record **once**. Please do not submit the Medical Record separately for each CMS-HCC.*
2. Under ‘Document to be Attached’, select **Submit document for selected CMS-HCC(s)**. Additional fields to complete the submission of a Medical Record will appear ([Figure 14](#)).
3. Review the data in the ‘Pre-populated’ column of the ‘Enrollee Information’ table and correct if needed.
 - *Note: This table contains pre-populated data from Enrollment Data Base (EDB) / Medicare Beneficiary Database (MBD). If any of the enrollee demographic information on the Medical Record documentation differs from that supplied in the pre-populated column, please enter corrections in the ‘Corrected’ column.*
4. Under ‘Document Type’, select either **One Physician Specialist / Hospital Outpatient Record, One Observation Record, or One Hospital Inpatient Record**.
 - For **One Physician Specialist / Hospital Outpatient Record**:
 - a. Enter the ‘Date of Service’ in MM/DD/YYYY format or use the calendar widget to select the date. The Date of Service year must fall within the data collection year.
 - b. Select **Yes** or **No** as applicable for the question ‘Document includes attestation?’
 - For **One Observation Record**:
 - a. Enter the ‘Admission Date’ in MM/DD/YYYY format or use the calendar widget to select the date.
 - b. Enter the ‘Discharge Date’ in MM/DD/YYYY format or use the calendar widget to select the date. The Discharge Date year must fall within the data collection year.
 - For **One Hospital Inpatient Record**:

- a. Enter the 'Admission Date' in MM/DD/YYYY format or use the calendar widget to select the date.
 - b. Enter the 'Discharge Date' in MM/DD/YYYY format or use the calendar widget to select the date. The Discharge Date year must fall within the data collection year.
5. Under 'Attach Document', click **Choose File** to select a file to upload. The file must meet the following criteria:
 - ✓ Must be a PDF File
 - ✓ File name must be less than 100 characters
 - ✓ File size must be less than 50 MB
 - ✓ File must not be password protected
 - ✓ File must not have bookmarks or binders
 - ✓ File must not be locked for editing
 - ✓ File must not be encrypted
6. Click **Submit**, then click **OK** to complete the submission and return to the Enrollee Dashboard.
7. Submitted documents can be viewed from the 'Completed Submissions' table in the Enrollee Dashboard. The system-generated Coversheet ([Figure 15](#)) is prepended to the submitted Medical Record.

Figure 14 – Submission Tab – Coversheet (with Documents to Attach)

***Document to be Attached**

No document will be attached for selected CMS-HCC(s)
 Submit document for selected CMS-HCC(s)

Enrollee Information

Correct Enrollee Information if applicable

Field Name	Pre-populated	Corrected
DOB(MM/DD/YYYY):	11/01/1907	<input type="text" value=""/>
Last Name	Doe	<input type="text" value=""/>
First Name	John	<input type="text" value=""/>

***Document Type**

One Physician Specialist / Hospital Outpatient Record

- Only Outpatient guidelines will apply.
- If CMS-Generated Attestation is included, it must correspond to the Date of Service entered here.
- If file contains an Observation record, enter observation start date.

Date of Service

(MM/DD/YYYY):

Document includes attestation? Yes No

One Observation Record

- Only Inpatient guidelines will apply.
- Attestations are not accepted for Inpatient records.
- Medical record in file must contain an Admission and a Discharge Date.

Admission Date

(MM/DD/YYYY):

Discharge Date

(MM/DD/YYYY):

One Hospital Inpatient Record

- Only Inpatient guidelines will apply.
- Attestations are not accepted for Inpatient records.
- Medical record in file must contain an Admission and a Discharge Date.

Admission Date

(MM/DD/YYYY):

Discharge Date

(MM/DD/YYYY):

Attach Document

Notes:

- Filename cannot contain any of the following characters: # % + ; & ..
- Accepted File Type: .pdf

*File: Choose File No file chosen

Cancel
Submit

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Figure 15 – Coversheet PDF

CY 20XX - CYXX Part C IPM

Coversheet ID: 20001,111111,1,12345

Section I | Contract Information
Enrollee ID: 111111_1
Sample Year: 20XX
Contract Name: TEST CONTRACT1
Current Contract ID: 20001
Sample Year Contract ID: 20001

Section II | Enrollee Information
MBI: 123456789A1
DOB: 11/01/1901
Corrected DOB:
First Name: FIRSTNAME1
Corrected First Name:
Last Name: LASTNAME1
Corrected Last Name:


Section III | Document to be Attached
Document is attached for selected CMS-HCC(s): Yes
Attestation Attached: Yes

Section IV | Designated CMS-HCC(s)

ESRD V21-CMS-HCC	V24-CMS-HCC	Hierarchy	ESRD V21-ICD Codes	V24-ICD Codes
HCC1	HCC1	No	B20, B0735, Z21	B20, B0735, Z21
HCC85	HCC85	No	I509	I509
HCC86	HCC86	Yes	I21A1, I214	I21A1, I214

Section V | File Content / Coding Guidelines
One Observation Record
Date of Service: 12/9/20XX

Section VI | Medical Record Submission Information
File Name: Test Medical Record.pdf
Submitted By: Doe, John
Submission Date: 11/12/20XX 12:46:32 PM
Submitted Medical Record is in the following pages.



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Document Library Tab

The Document Library tab ([Figure 16](#)) allows you to view documents related to the Part C IPM process, such as:

- **General Sample Documentation – Reference and Training Documentation:** Documents like Submission Instructions, MAO Training Slides, MR Guidance, CMS Generated Attestation Instructions, CMS Generated Attestations, Reference Materials CMS-HCCs Hospital Letters, Physician Letters, Physician Specialties, Enrollee List Data Dictionary, IFR and FFR MAO Training Slides are available under this category. These documents are made available in the Document Library prior to opening of the Submission Window.
- **Contract-Specific and Enrollee-Specific Data and Documentation:** Documents like Enrollee List are available under this category. These documents are made available in the Document Library on dates specified by CMS, no later than the date the Submission Window opens.
- **Interim Findings Report:** Interim Findings Reports are available under this category as the sample progresses once they are published to the Document Library.
- **Final Findings Report:** Final Findings Reports are available under this category towards the end of the sample once they are published to the Document Library.
- **CEO/MCO File:** Documents specific to CEO/MCOs are available under this category. These documents are made available in the Document Library once the Submission Window opens.

Documents appear in the Document Library as they become available; note that some of the aforementioned documents will not be available until after the submission window opens, or after all review/CMS analysis is complete.

Available documents will be displayed in the ‘Filter Results’ table at the bottom of the Document Library tab. By default, documents are sorted by date uploaded, beginning with the most recent. Documents can also be filtered by document type and contract ID(s).

Figure 16 – Document Library Tab

HPMS > Monitoring > Part C IPM > Select Sample > Document Library

Document Library

Overview | Submission | **Document Library** | Reports

[View PHI/PII Disclaimer](#)

Sample Details

Sample Year: 20XX
Sample Name: CYXX Part C IPM

Filter Criteria

Document Type:

Select All

General Sample Documentation-Reference and Training Document

Contract and Enrollee-Specific Data and Documentation

Interim Findings Report

Final Findings Report

CEO/MCO File

Contract ID(s):

Select All

Z0001-TEST CONTRACT 1

Z0002-TEST CONTRACT 2

Z0003-TEST CONTRACT 3

Filter Results

Page size: 50 1 items in 1 pages

Document Type	File Name	Uploaded Date	Comments
Interim Findings Report	Z0001 Interim Findings Example [PDF.194KB]	04/13/20XX 12:06:28 PM	
Contract and Enrollee-Specific Data and Documentation	Z0001 Enrollee Specific Data Test.pdf [PDF. 176.8KB]	04/13/20XX 12:06:28 PM	
Final Findings Report	Z0001 Final Findings Test.pdf [PDF. 176.8KB]	04/13/20XX 12:06:28 PM	
General Sample Documentation-Reference and Training Documentation	Part C IPM CYXX MAO Teleconference Slides.pdf [PDF.194KB]	04/13/20XX 12:06:28 PM	

Page size: 50 1 items in 1 pages

To filter available documents:

1. Choose the desired filter parameters in the ‘Filter Criteria’ section.
 - To search by document type, select the applicable option from the ‘Document Type’ selection box. To select multiple document types, hold the **Ctrl** key and select the desired document types. To view all documents for the sample, choose **Select All**.

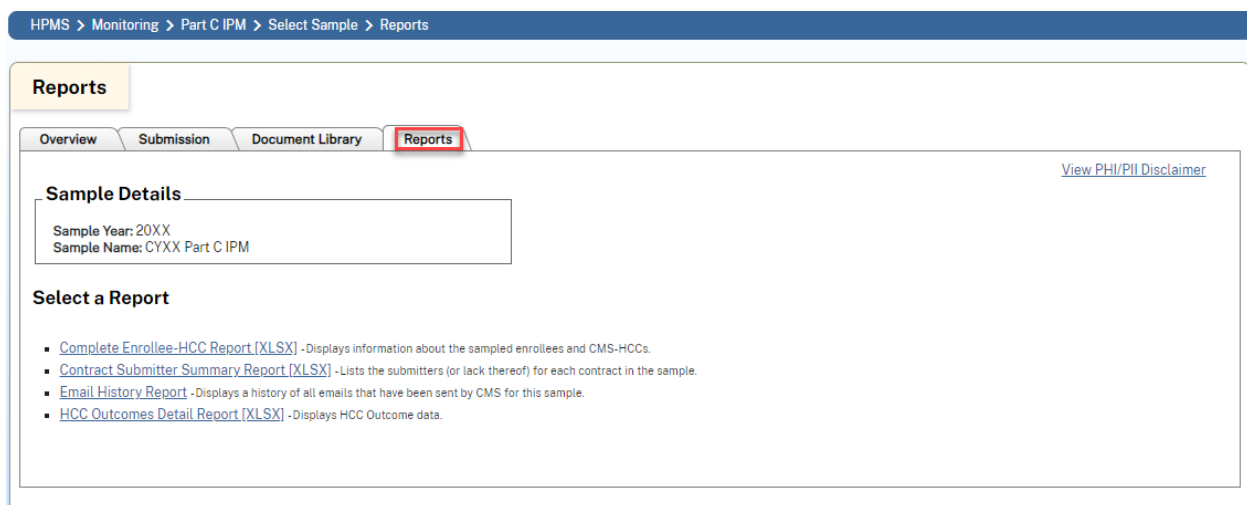
- To search by Contract ID(s), select the applicable option from the ‘Contract ID(s)’ selection box. To select multiple contracts, hold the **Ctrl** key and select the desired contracts. To view all contracts for the sample, choose **Select All**.
2. Click the **Filter** button to apply the selected parameters. The ‘Filter Results’ table will be updated based on the parameters submitted.

Reports Tab

The Reports tab ([Figure 17](#)) allows users with *Part C IPM Reports – Plan* access to view various reports related to Part C IPM activity, such as (but not limited to):

- Complete Enrollee-HCC Report
- Contract Submitter Summary Report
- Email History Report
- HCC Outcomes Detail Report

Figure 17 – Reports Tab



Complete Enrollee-HCC Report

The *Complete Enrollee-HCC Report* ([Figure 18](#)) is an auto-generated Excel report which displays all sampled enrollees and ESRD V21 CMS-HCCs/V24 CMS-HCCs selected for the Part C IPM audit. This report will only display information for contracts to which the requesting user has access.

Figure 18 – Complete Enrollee-HCC Report

1	Complete Enrollee-HCC Report													
2	Sample Year: 20XX													
3	Sample Name: C/XX Part C IPM													
4	Last Generated: 8/8/20XX 11:29:13 AM													
5	MBI	Enrollee ID	First Name	Last Name	Middle Name	Sex	DOB	ESRD V21 CMS-HCCs	V24 CMS-HCCs	Hierarchy	ESRD V21_DX1	ESRD V21_DX2	ESRD V21_DX3	ESI V2
7	1A2CD3EF45	111111_1	John	Doe	T	M	11/01/1901	HCC86		Yes	I21A1	I214		
8	1A2CD3EF46	111111_1	John	Doe	T	M	11/01/1901	HCC85		No	I509			
9	1A2CD3EF47	111111_1	John	Doe	T	M	11/01/1901	HCC1		No	B20	B9735	Z21	
10	1A2CD3EF48	111111_10	John	Doe	T	M	11/01/1910		HCC34	No				
11	1A2CD3EF49	111111_11	John	Doe	T	M	11/01/1911		HCC57	Yes				
12	1A2CD3EF41	111111_18	John	Doe	T	M	11/01/1918		HCC78	No				
13	1A2CD3EF42	111111_19	John	Doe	T	M	11/01/1919	HCC82		Yes	J9500	J9501	J9502	J95
14	1A2CD3EF43	111111_2	John	Doe	T	M	11/01/1902		HCC100	Yes				
15	1A2CD3EF44	111111_2	John	Doe	T	M	11/01/1902		HCC103	Yes				
16	1A2CD3EF51	111111_2	John	Doe	T	M	11/01/1902		HCC108	Yes				
17	1A2CD3EF52	111111_27	Jane	Doe	K	F	11/01/1927	HCC110		Yes	E840	E848	E849	E8
18	1A2CD3EF53	111111_28	Jane	Doe	K	F	11/01/1928		HCC111	Yes				
19	1A2CD3EF54	111111_37	Jane	Doe	K	F	11/01/1937	HCC108		Yes	I714			
20	1A2CD3EF55	111111_37	Jane	Doe	K	F	11/01/1937	HCC169		Yes	S22031A			
21	1A2CD3EF56	111111_39	Jane	Doe	K	F	11/01/1938		HCC85	No				
22	1A2CD3EF57	111111_39	Jane	Doe	K	F	11/01/1938		HCC103	Yes				
23	1A2CD3EF58	111111_7	John	Doe	T	M	11/01/1907	HCC115	HCC115	Yes	J181			
24	1A2CD3EF59	111111_7	John	Doe	T	M	11/01/1907	HCC111	HCC111	Yes	J410	J440	J441	J44
25	1A2CD3EF60	111111_7	John	Doe	T	M	11/01/1907	HCC27	HCC27	Yes	I8500	I8501	I8510	I85
26	1A2CD3EF61	111111_8	John	Doe	T	M	11/01/1908		HCC28	Yes				
27	1A2CD3EF62	111111_9	John	Doe	T	M	11/01/1909		HCC29	Yes				
28														
29														
30														
31														
32	INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:This information has not been													
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35	may result in prosecution to the full extent of the law.													
36														
37														
38														

To view the Complete Enrollee-HCC Report:

- From the Reports tab, click the **Complete Enrollee-HCC Report** link. The report will open in an Excel file.

Contract Submitter Summary Report

The *Contract Submitter Summary Report* (Figure 19) is a downloadable Excel report which displays a listing of all users associated with the sample who are able to make a submission. This report will display information only for contracts to which the user has access.

Figure 19 - Contract Submitter Summary Report

1	Contract Submitter Summary Report						
2	Sample Year: 20XX						
3	Sample Name: C/XX Part C IPM						
4	Last Generated: 7/27/20XX 3:35:04 PM						
5	Contract ID	Name	Profile	Phone Number	Email Address	Organization	Parent Organization
7	22001	Doe, John	MCO User, MRRC Contractor User, Superuser	555-555-5555	john.doe@test.com	Acme, Inc.	Acme Group
8	22002	Doe, Jane	MCO User, A0000 - CE/CD/CO/CF/DO Contract Allocation, P0000 - Pharmaceutical Manufacturer User, H0000 - Actuarial Certification Consultant User, PDP User, PACE MCO User	555-555-5556	jane.doe@test.com	Acme, Inc.	Acme Group
9	22003	Doe, Susie	MCO User, A0000 - CE/CD/CO/CF/DO Contract Allocation, P0000 - Pharmaceutical Manufacturer User, H0000 - Actuarial Certification Consultant User, PDP User, PACE MCO User	555-555-5557	susie.doe@test.com	Acme, Inc.	Acme Group
10							
11							
12							
13							
14	INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:This information has not been publicly disclosed and may be privileged and confidential. It is for internal						
15	government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the						
16	full extent of the law.						

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To view the *Contract Submitter Summary Report*, go to the Reports tab and click the **Contract Submitter Summary Report** link. The report will download as an Excel file and includes contact information for all submitter users associated with the sample.

Email History Report

The *Email History Report* is an auto-generated summary of any emails sent by CMS (or designated CMS Contractor) to your MA Organization. This report will only display information for contracts to which the requesting user has access.

To generate and view an Email History Report:

1. From the 'Reports' tab, click the **Email History Report** link. The Email History Report parameters section will appear ([Figure 20](#)).

Figure 20 – Set Email History Report Parameters

The screenshot shows the HPMS interface for setting report parameters. At the top, a breadcrumb trail reads: HPMS > Monitoring > Part C IPM > Select Sample > Reports. Below this is a navigation bar with tabs for Overview, Submission, Document Library, and Reports (which is highlighted). A 'View PHI/PII Disclaimer' link is in the top right. The main content area is titled 'Sample Details' and contains a box with 'Sample Year: 20XX' and 'Sample Name: CYXX Part C IPM'. Below this is the 'Email History Report' section, which includes a dropdown menu for '*Email Type:' with options like 'Notification of Selection', 'MAO Teleconference Invitation', 'EUA Reminder', 'Submission Window Start', and various 'Interim Findings Report (IFR)' cut-off dates. Below the dropdown is a 'Contract ID:' dropdown menu with options 'Select All', 'Z0001- TEST CONTRACT 1', 'Z0002- TEST CONTRACT 2', and 'Z0003- TEST CONTRACT 3'. At the bottom of the form are two buttons: 'Select New Report' and 'Search'.

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2. In the 'Email Type' selection box, select the appropriate email type(s) to include in the auto-generated report. To select multiple email types, hold the **Ctrl** key and select the applicable types.
3. In the 'Contract ID' selection box, select the appropriate contract to include in the generated report. To select multiple contracts, hold the **Ctrl** key and select the appropriate contracts. To include all contracts for the sample, choose the **Select All** option.
4. Click the **Search** button to view the auto-generated report ([Figure 21](#)).

Figure 21 – Email History Report

The screenshot displays the HPMS Reports interface. At the top, a breadcrumb trail reads: HPMS > Monitoring > Part C IPM > Select Sample > Reports. Below this, a 'Reports' tab is active, with sub-tabs for Overview, Submission, Document Library, and Reports. The 'Reports' sub-tab is highlighted. The main content area is divided into three sections:


- Sample Details:** Shows 'Sample Year: 20XX' and 'Sample Name: CYXX Part C IPM'. A link for 'View PHI/PII Disclaimer' is located in the top right corner of this section.
- Email History Report:** Contains 'Report Parameters' showing 'Email Type: Notification of Selection' and 'Contract ID: Z0001'. A blue 'Modify' button is positioned below these parameters.
- Search Results:** Features a table with one row of data. Above the table are navigation controls (back, forward, page 1 of 1) and a 'Page size: 50' dropdown. An 'Export All to Excel' link is located in the top right corner of the search results area.

Contract ID	Date Sent	Email Type	Subject	Email Details
Z0001	07/21/20XX 01:22:46 PM	Notification of Selection	Z0001: Notification of Calendar Year (CY) 20XX Medicare Part C Improper Payment Measure (Part C IPM) Contract Selection and Point of Contact Request	View Email

Navigating the Email History Report

- To make any changes to the report parameters, click the **Modify** button.
- To export all results as an Excel file, click the **Export All to Excel** link found above the 'Search Results' table.
- To view details of an individual email, click the **View Email** link in the 'Email Details' column of the 'Search Results' table. Details for the selected email will open in a separate ([Figure 22](#)) window and include links to email attachments (if any).

Figure 22 – Email Detail Window



[Print](#) | [Close](#)
 Print Date: 7/26/20XX

Email Detail

[View PHI/PII Disclaimer](#)

Sample Name (Year)	CYXX Part C IPM (20XX)
Email Type	Notification of Selection
Contract Id	Z0001
Sent To	jane.doe@test.com, john.doe@test.com
CC	sue.doe@test.com
Date Sent	7/21/20XX 1:22:46 PM
Subject	Z0001: Notification of Calendar Year (CY) 20XX Medicare Part C Improper Payment Measure (Part C IPM) Contract Selection and Point of Contact Request
Attachments	None

Message

The Centers for Medicare & Medicaid Services (CMS) has selected one or more enrollees in one or more of your Medicare Advantage (MA) organization's MA contracts for the CY 20XX Medicare Part C Improper Payment Measure (CYXX Part C IPM) activity. Please see the attached notification letter for more information.

HPMS, a secure web-based system, will be CMS' only acceptable method for participation in CYXX Part C IPM. For access to HPMS for CYXX Part C IPM, it is important that you take immediate steps to credential users for Part C IPM Submission access. Please read the attached "Request Part C IPM Submission" letter for additional information.

CMS plans to host a training teleconference for CYXX Part C IPM, for which invitations will be distributed by e-mail. During the teleconference, you will receive information about accessing enrollee data and submitting medical record files using HPMS.

Any questions related to the CYXX Part C IPM process should be directed to CMS at PartC_IPM@cms.hhs.gov with subject line specified as "CYXX Part C IPM". For technical inquiries related to HPMS, please send an email to hpms@cms.hhs.gov. For inquiries regarding your HPMS access, please send an email to hpms_access@cms.hhs.gov. Do not send any beneficiary Protected Health Information (PHI) or Personally Identifiable Information (PII) to any CMS mailbox.

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HCC Outcomes Detail Report

The Part C IPM *HCC Outcomes Detail Report* ([Figure 23](#)) is a downloadable Excel report that displays a list of all HCCs reviewed within the sample, CMS-HCC outcomes, and MA Contract Suggested Action to the plan user. The report files are generated outside of HPMS and are automatically transferred daily from the Integrated Data Repository (IDR) to HPMS via the Enterprise File Transfer (EFT) mechanism.

Figure 23 – HCC Outcomes Detail Report

HCC Outcomes Detail Report					
Parent Organization	Contract Name	Contract ID	Enrollee ID	ESRD Beneficiary	V21 Sampled CMS-HCC
Acme Group	TEST CONTRACT 1	Z0001	111111_11	No	HCC111
Acme Group	TEST CONTRACT 1	Z0001	111111_12	Yes	HCC108
Acme Group	TEST CONTRACT 1	Z0001	111111_13	No	HCC111
Acme Group	TEST CONTRACT 1	Z0001	111111_14	Yes	HCC108
Acme Group	TEST CONTRACT 1	Z0001	111111_15	No	HCC111
Acme Group	TEST CONTRACT 2	Z0002	111111_16	Yes	HCC108
Acme Group	TEST CONTRACT 2	Z0002	111111_17	No	HCC111
Acme Group	TEST CONTRACT 2	Z0002	111111_18	Yes	HCC108
Acme Group	TEST CONTRACT 3	Z0003	111111_19	No	HCC111
Acme Group	TEST CONTRACT 3	Z0003	111111_20	Yes	HCC108
Acme Group	TEST CONTRACT 3	Z0003	111111_21	No	HCC111

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To view the *HCC Outcomes Detail Report*, go to the Reports tab and click the **HCC Outcomes Detail Report** link. The report will download as an Excel file and includes contract information for all submitter users associated with the sample.

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5. HPMS Contact Information

Important: Do not send any beneficiary Protected Health Information (PHI) or Personally Identifiable Information (PII) to any CMS mailbox.

Contact	Phone Number / Email	Notes
HPMS User Access	hpms_access@cms.hhs.gov	Assistance with HPMS user access needs such as access troubleshooting, password resets, or new account status.
HPMS Help Desk	1-800-220-2028 hpms@cms.hhs.gov	Assistance with all other HPMS needs not related to user access.
Part C IPM (CMS)	PartC_IPM@cms.hhs.gov	Assistance with needs specific to the Part C IPM module.

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