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**Medicare Enrollment and Appeals Group**  
**Medicare Plan Payment Group**  
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**Enterprise Systems Solutions Group**

**DATE:**           **October 4, 2018**

**TO:**             All Medicare Advantage, Prescription Drug Plan, Cost, PACE, and Demonstration  
Organizations Systems Staff

**FROM:**       Jerry Mulcahy /s/  
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**SUBJECT:   Announcement of the Fall 2018 Software Releases**

The Centers for Medicare & Medicaid Services (CMS) issued an HPMS memo on August 30, 2018 announcing the planned release of systems changes scheduled for October, November, and December 2018. This memo provides details about these releases, which aim to improve the efficiency of CMS systems and Plan processing. The updates described in this communication will be included in the November 2018 Plan Communications User Guide v12.3, scheduled for publication on or around November 30, 2018.

The October 2018 Release changes include the following:

1. [\*\*Changes to the Default Enrollment Process for Newly Eligible Medicare Beneficiaries\*\*](#)

The November 2018 Release changes include the following:

2. [\*\*Discontinuation of the Medicare Advantage Disenrollment Period \(MADP\) and Establishment of a new Medicare Advantage-Open Election Period \(MA-OEP\)\*\*](#)

The December 2018 Release changes include the following:

3. [\*\*Limitations in Use of the Special Enrollment Period for Dually Eligible and Low Income Subsidy \(LIS\) Beneficiaries\*\*](#)

4. [Inclusion of National Drug Codes \(NDCs\) on Certain Other Health Information \(OHI\) Records](#)
5. [Enhanced Functionality for Drug Management Programs](#)

1. **Changes to the Default Enrollment Process for Newly Eligible Medicare Beneficiaries**

Starting October 1, 2018, a Medicare Advantage organization (MAO) may request CMS approval to implement a default enrollment process. This process permits the MAO to automatically enroll a beneficiary into one of their MA plans if the person:

- Is currently enrolled in the MAO's Medicaid Managed Care plan at the time of the individual's initial eligibility for Medicare; and
- Does not elect to receive Medicare coverage in another way.

MAOs previously approved to conduct default enrollment that will not meet the new requirements must discontinue use of this mechanism for any enrollment with an effect date of January 1, 2019 or later. See HPMS memorandum "Default Enrollment Option for Newly Medicare Advantage Eligible Medicaid Managed Care Plan Enrollees (formerly known as "Seamless Conversion Enrollment")" dated August 31, 2018 for more information.

MAOs must use Election Type J for all default enrollments. CMS will reject default enrollment transactions submitted by MAOs that are not approved for default enrollment.

The following file layout and Transaction Reply Code (TRC) updates are related to this software change:

- *Daily Transaction Reply Report (DTRR) Updates, new Election Type J, [Attachment A](#)*
- *Updates to TRCs 103, 104, 108, 367, 369, 370, [Attachment C, Table 1](#)*
- *Updates to the Medicare Advantage and Prescription Drug System (MARx) Batch Input Detail Record: Enrollment – TC 61, new Election Type J, [Attachment D](#)*

2. **Discontinuation of the Medicare Advantage Disenrollment Period (MADP) and Establishment of a new Medicare Advantage – Open Election Period (MA-OEP)**

The Medicare Advantage Disenrollment Period (MADP), which used to occur January 1 – February 14, was discontinued as a result of the 21<sup>st</sup> Century Cures Act. The law established the Medicare Advantage Open Enrollment Period (MA OEP), starting January 1, 2019. Individuals enrolled in an MA plan as of January 1 can make one (1) election during the first three (3) months of the calendar year (January 1 – March 31) to switch MA plans or to disenroll from an MA plan and obtain coverage through Original Medicare.

In addition, new Medicare beneficiaries who enrolled in an MA plan during their Initial Coordinated Election Period (ICEP) can also make one election to switch or drop MA coverage during the first three (3) months they have Medicare Parts A and B. Individuals using the MA OEP may add or drop Part D coverage. It does not allow individuals enrolled in Medicare Savings Accounts or other Medicare health plan types (such as cost plans or Programs of All-Inclusive Care for the Elderly (PACE)) or in Original Medicare (with or without stand-alone Part D coverage) to make enrollment changes.

Beginning January 1, 2019, a new election type code (M) will be created for the MA OEP to accept and process these elections. A new Transaction Reply Code (TRC 373 – Rejected, Bene without MA Enrl or ICEP) will be issued for rejections related to the improper use of the ‘M’ election type code.

The following file layout and TRC updates are related to this software change:

- *Update to the DTRR, new election type M, [Attachment A](#)*
- *Updates to TRCs 104 and 108, [Attachment C, Table 1](#)*
- *New TRC 373, [Attachment C, Table 2](#)*
- *Updates to MARx Batch Input Detail Record: Enrollment – TC 61, new Election Type M, [Attachment D](#)*
- *Updates to MARx Batch Input Detail Record: Disenrollment – TC 51 or 54, new Election Types M and D, [Attachment E](#)*

### **3. Limitations in Use of the Special Enrollment Period for Dually Eligible and Low Income Subsidy (LIS) Beneficiaries**

CMS has established limitations to the use of the Duals/LIS SEP for all individuals which will begin January 1, 2019. This SEP may only be used once per calendar quarter during the first nine (9) months of the year (i.e., January – March, April – June, July – September). For an enrollment transaction with an election type code of ‘L’, the application date will determine which quarter the change is made in. For a disenrollment transaction, the effective date of the disenrollment will determine which quarter the change is made in.

In addition to the quarterly SEP, there are also two new SEPs that dually eligible/LIS beneficiaries may qualify to use in the following circumstances:

1. The individual gains, loses or has a change in the level of assistance (Medicaid or LIS).
2. The individual is automatically enrolled into a plan by the state or CMS.

Thus, there will be two (2) special election type codes available to dually eligible/LIS beneficiaries:

- Quarterly Duals/LIS SEP (election type code ‘L’) – used for beneficiary elected changes (“SEP for Dual-eligible Individuals and Other LIS-Eligible Individuals” - §30.4.4 #5 of Chapter 2 of the Medicare Managed Care Manual and §30.3.2 in Chapter 3 of the Medicare Prescription Drug Benefit Manual)
  - Once per calendar quarter for the first three (3) quarters of the year
  - Not allowed if there is an active “potentially at-risk” or “at-risk” CARA limitation (see Section 5).
- Dual/LIS SEP (election type code ‘U’) – used for beneficiary elected changes (“SEP for Individuals who Gain, Lose, or Have a Change in their Dual or LIS-Eligible Status” and “SEP for CMS and State-Initiated Enrollments” - §30.4.4 #12 and §30.4.7 of Chapter 2 of the Medicare Managed Care Manual and §30.3.8 #7 and §30.3.8 #15 in Chapter 3 of the Medicare Prescription Drug Benefit Manual)
  - Gains/loses Medicaid or LIS, the beneficiary’s LIS levels change.
  - Automatic enrollments (e.g. auto-enrollment, annual reassignment)
  - Passive enrollments by the state or CMS

The Beneficiary: Eligibility (M232) screen will display the application date of when the LIS SEP Election Type Code was last used.

The following file layout and TRC updates are related to this software change:

- *Updates to the DTRR, new Election Type Code L, [Attachment A](#)*
- *Updates to TRCs 104, 108, 343 & 334, [Attachment C, Table 1](#)*
- *Updates to MARx Batch Input Detail Record: Enrollment – TC 61, new Election Type L, [Attachment D](#)*
- *Updates to MARx Batch Input Detail Record: Disenrollment – 51 or 54, new Election Type L, [Attachment E](#)*

#### **4. Inclusion of National Drug Codes (NDCs) on Certain Other Health Information (OHI) Records**

In an effort to address concerns regarding listing the specific National Drug Codes (NDCs) that a Patient Assistance Program (PAP) covers on behalf of a given beneficiary, CMS is making a change to the Other Health Insurance (OHI) records that it shares with Part D Plans through MARx effective December 2018.

Effective January 2019, newly reported PAP-related OHI coverage occurrences will include at least one (1) associated NDC. Plans should be aware that typically a PAP will only provide coverage for a beneficiary for no more than two (2) drugs. Thus, in most instances, Part D Plans will only notice up to two (2) NDCs for each PAP coverage period. However, Part D sponsors should know that CMS is making internal systems changes to accommodate up to a maximum of five (5) NDCs that could potentially be reported as part of a PAP coverage period.

Though rare, it is possible that multiple PAPs may provide coverage to an individual for different prescription drugs.

The following scenario examples are associated with this software change:

- *PAP Coverage Period Scenarios, [Attachment G](#)*

#### **5. Enhanced Functionality for Drug Management Programs**

Section 704 of the Comprehensive Addiction and Recovery Act of 2016 (CARA) (Pub. L. 114-198) and the implementing final rule CMS-4182-F (April 16, 2018) include provisions that permit Part D sponsors to establish drug management programs for beneficiaries at risk of prescription drug abuse. Beginning January 1, 2019, under such programs, Part D sponsors may limit at-risk beneficiaries' access to coverage for opioids and benzodiazepines to selected prescribers and pharmacies ("lock-in") or through use of a beneficiary-specific point-of-sale claim edit after case management and notice to the beneficiaries. In implementing a drug management program, Part D sponsors should refer to the final rule and all relevant CMS guidance which will be available at <https://www.cms.gov/Medicare/Prescription-Drug-coverage/PrescriptionDrugCovContra/RxUtilization.html>.

Additional guidance on drug management programs will be forthcoming this fall.

Specifically, under drug management programs, participating sponsors must send a potentially at-risk beneficiary advance written notice of intent to implement a coverage limitation, and provide

the beneficiary an opportunity to give relevant information to the sponsor within 30 days. Participating sponsors must send the beneficiary a second written notice, if applicable, when it determines that the beneficiary is an at-risk beneficiary and implements the coverage limitation. An alternate second notice must be sent to the potential-at-risk beneficiary if the sponsor determines the beneficiary is not an at-risk beneficiary and does not implement a coverage limitation under its drug management program.

The start date of the implementation period cannot be less than 30 days or more than 60 days from the date of the initial notice. The initial implementation period can last a maximum of 12 months. The one (1) year period can be extended for an additional 12 months under the requirements of the final rule including additional notice to the beneficiary, for a total implementation period 24 months.

Currently, the Medicare Advantage Prescription Drug system (MARx) accepts Point-of-Sale (POS) edit transactions from sponsors for opioid over utilizers via the User Interface (UI) or batch process. In order to accommodate the changes for drug management programs, the M254 screen will be re-named to 'Update CARA Status' and modified. Plan sponsors will communicate drug management program information, such as notification date, intended coverage limitation(s), implementation date, implemented coverage limitation(s), changes and end date if the limitation is terminated early to MARx using the transaction type 90.

- Therefore, the Transaction Code 90 Layout will change so that sponsors can provide information on pharmacy and prescriber limitations, in addition to beneficiary-specific POS claim edits, for potentially at-risk and at-risk beneficiaries for opioids and benzodiazepines.
- The termination date field will be discontinued. In its place, two new fields will be added: notification end date and implementation end date.
  - MARx will auto-assign these dates if they are not provided by the sponsor. The auto-assigned notification end date is on the 60<sup>th</sup> day after the notification start date (day one). For example, if a notification start date is October 1, 2019 then the auto-assigned notification end date will be November 29, 2019.
  - When an implementation start date is provided, the notification end date is changed to one (1) day before the implementation start date.
  - If the notification and implementation start dates are the same, as applicable in limited scenarios, then the assigned notification end date will also be the same.
  - Sponsors can submit a notification end date as long as it is within 60 days after the notification start date.
  - If a sponsor decides not to implement a coverage limitation, a transaction that includes a notification end date must be submitted.
  - When MARx receives an implementation start date for a coverage limitation, an implementation end date one (1) year later than the implementation start date will be auto-assigned. For example, if an implementation start date is January 1, 2019 then the assigned implementation end date will be December 31, 2019. Plans must submit an implementation end date if they terminate a coverage limitation.

A beneficiary's active "CARA Status" will be shared with the gaining sponsor via the Beneficiary Eligibility Query (BEQ) and via the Beneficiary: Eligibility (M232) screen on the MARx UI. If a beneficiary with an active "CARA Status" switches plans, the gaining sponsor will also be notified

by TRC 376 (New Enrollee CARA Status Notification) of the beneficiary's active "CARA Status". The new sponsor will have to contact the prior sponsor to determine which "CARA Status" (either "potentially at-risk" or "at-risk") the beneficiary had in the previous plan, as well as to obtain other case management information by using the Overutilization Contact in HPMS. This information shall be used by the new sponsor to determine their next steps.

Up to and including December 30, 2018, POS Drug Edit information can be submitted to MARx using a transaction type 90. Plans may NOT submit transaction type 90s to MARx on December 31, 2018. Beginning on January 1, 2019, Plans may use transaction type 90 to submit drug management program information.

Beneficiaries notified that they are a potentially at-risk beneficiary or at-risk beneficiary cannot use the Dual/LIS quarterly SEP (election type 'L') to enroll in another plan or disenroll from their current plan. They will still be permitted to use any other election period available to them, including the Dual/LIS SEPs (election type 'U') referenced in [Section 3](#) of this announcement. If an enrollment or disenrollment using the LIS SEP (election type 'L') is attempted using an application date that falls within an active "CARA Status", it will reject.

Please see the file layouts and TRC changes listed after section 3. The following file layout updates are related to this software change:

- ***DTRR, CARA Updates, [Attachment B](#)***
- ***Updates to MARx Batch Input Detail Record: CARA Status – TC 90, [Attachment F](#)***
- ***Updates to the BEQ Response File, [Attachment H](#)***
- ***M232 and M254 Screenshots, [Attachment I](#)***

Also, in Table 2, TRC 373 is new for the MA-OEP, TRC 374 is new for the LIS SEP and TRCs 375-390, 723 and 724 are new for Enhanced Functionality for Drug Management Program.

Plans are encouraged to contact the MAPD Help Desk for any issues encountered during the systems update process. Please direct any questions or concerns to the MAPD Help Desk at 1-800-927-8069 or e-mail at [mapdhelp@cms.hhs.gov](mailto:mapdhelp@cms.hhs.gov).

## Attachment A, DTRR New Election Types

Note: Updates are highlighted in yellow.

Daily Transaction Reply Report Updates				
Item	Field	Size	Position	Description
36.	Election Type Code	1	154 – 154	<p> ‘A’ = AEP  ‘C’ = Plan-submitted Rollover SEP  ‘D’ = MADP  ‘E’ = IEP  ‘F’ = IEP2  ‘I’ = ICEP  ‘J’ = DEM  ‘L’ = LIS SEP  ‘M’ = MA-OEP  ‘N’ = OEPNEW  ‘O’ = OEP  ‘R’ = 5 Star SEP  ‘S’ = Other SEP  ‘T’ = OEPI  ‘U’ = Dual/LIS SEP  ‘V’ = Permanent Change in Residence SEP  ‘W’ = EGHP SEP  ‘X’ = Administrative Action SEP  ‘Y’ = CMS/Case Work SEP  Space = not applicable  ‘Z’ = Auto Enrollment, Facilitated Enrollment, Reassign Enrollment, or POS enrollment (current and retro effective dates) </p> <p> (MAs use A, C, D, F, I, J, L, M, N, O, R, S, T, U, V, W, X, and Y.  MAPDs use A, C, E, F, I, J, L, M, N, O, R, S, T, U, V, W, X, and Y.  PDPs use A, C, E, F, L, R, S, U, V, W, X, and Y.) </p>

## Attachment B, DTRR CARA Updates

Updated Fields/Descriptions are presented in the following table.

Daily Transaction Reply Report Updates				
Item	Field	Size	Position	Description
24.	Positions 85 – 96 are dependent upon the value of the TRANSACTION REPLY CODE. There are spaces for all codes except where indicated below.	8	85 – 92	YYYYMMDD Format; Present only when the Transaction Reply Code is one of the following: 13, 14, 18.
aa.	Previous Contract for POS Drug Edit or CARA Status Active Indicator	5	85-89	Will be present when Transaction Reply Code is 322 or 376.
36.	Election Type Code	1	154	<p> ‘A’ = AEP  ‘C’ = Plan-submitted Rollover SEP  ‘D’ = MADP  ‘E’ = IEP  ‘F’ = IEP2  ‘I’ = ICEP  ‘J’ = DEM  ‘L’ = LIS SEP  ‘M’ = MA-OEP  ‘N’ = OEPNEW  ‘O’ = OEP  ‘R’ = 5 Star SEP  ‘S’ = Other SEP  ‘T’ = OEPI  ‘U’ = Dual/LIS SEP  ‘V’ = Permanent Change in Residence SEP  ‘W’ = EGHP SEP  ‘X’ = Administrative Action SEP  ‘Y’ = CMS/Case Work SEP  Space = not applicable  ‘Z’ = Auto Enrollment, Facilitated Enrollment, Reassign Enrollment, or POS enrollment (current and retro effective dates) </p> <p> (MAs use A, C, D, F, I, J, L, M, N, O, R, S, T, U, V, W, X, and Y.  MAPDs use A, C, E, F, I, J, L, M, N, O, R, S, T, U, V, W, X, and Y.  PDPs use A, C, E, F, L, R, S, U, V, W, X, and Y.) </p>



## Attachment B, DTRR CARA Updates

Daily Transaction Reply Report Updates				
Item	Field	Size	Position	Description
74.	CARA Status Add/Update/Delete Flag	1	394	'A' = Add (starts 2019) 'D' = Delete 'U' = Update Space = Not applicable <b>Note:</b> Prior to 2019, this field contained the POS Drug Edit Update Delete Flag
75.	POS Edit Status	1	395	'Y' = Yes, POS Edit Code has been submitted 'N' = No, POS Edit Code has not been submitted Space = Not applicable or no update Present only when Transaction Type Code is 90 and when a POS Edit Status is present
76.	Drug Class	3	396-398	Three character drug class identifier for the frequently abused drug(s) the sponsor intends to or did implement a coverage limitation (such as prescriber limitation, pharmacy limitation, or beneficiary-specific POS claim edit) for beneficiary under the drug management program. Spaces = Not applicable Present only when Transaction Type Code is 90 and Drug Class is provided, otherwise blank 'OPI' = Opioids 'BZD' = Benzodiazepine
78.	CARA Status Notification Start Date	8	402-409	Date that a potential at-risk beneficiary was notified of the sponsor's intent to implement a coverage limitation (such as prescriber limitation, pharmacy limitation, and/or beneficiary-specific POS claim edit) under the drug management program. The beneficiary will have an active CARA Status. YYYYMMDD format Present only when Transaction Type Code is 90 and the CARA Status and/or POS Drug Edit status notification date is provided, otherwise blank <b>Note:</b> Prior to 2019, this field contained the POS Drug Edit notification date

## Attachment B, DTRR CARA Updates

Daily Transaction Reply Report Updates				
Item	Field	Size	Position	Description
79.	CARA Status Implementation Start Date	8	410-417	<p>Date the coverage limitation was implemented for an at-risk beneficiary under the sponsor's drug management program. The beneficiary will continue to have an active CARA Status.</p> <p>YYYYMMDD format</p> <p>Present only when Transaction Type Code is 90 and the CARA Status and/or POS Drug Edit implementation start date is provided, otherwise blank</p> <p><b>Note:</b> Prior to 2019, this field contained the POS Drug Edit implementation date</p>
80.	CARA Status Notification End Date	8	418-425	<p>CARA Status notification end date</p> <p>YYYYMMDD format</p> <p>Present only when Transaction Type Code is 90 and a CARA Status notification start date or POS Drug Edit termination date is provided, otherwise blank</p> <p>The CARA Status Notification End Date is either:</p> <ul style="list-style-type: none"> <li>• The one provided on the Transaction Type Code 90 transaction OR</li> <li>• The one assigned by MARx</li> </ul> <p><b>Note:</b> Prior to 2019, this field contained the POS Drug Edit termination date</p>
86.	CARA Status Implementation End Date	8	446 - 453	<p>CARA Status implementation end date</p> <p>YYYYMMDD format</p> <p>Present only when Transaction Type Code is 90 and an implementation start date has been submitted, otherwise blank.</p> <p>The CARA Status Implementation End Date is either:</p> <ul style="list-style-type: none"> <li>• The one provided on the Transaction Type Code 90 transaction OR</li> <li>• The one assigned by MARx</li> </ul>
87.	Prescriber Limitation	1	454	<p>'Yes' = Prescriber Limitation</p> <p>'No' = No Prescriber Limitation</p> <p>Present only when Transaction Type Code is 90 and Prescriber Limitation is present</p>
88.	Pharmacy Limitation	1	455	<p>'Yes' = Pharmacy Limitation</p> <p>'No' = No Pharmacy Limitation</p> <p>Present only when Transaction Type Code is 90 and Pharmacy Limitation is present</p>

## Attachment C Updates to Transaction Reply Code (TRCs)

**Table 1: Updated TRCs**

Updated TRCs				
Code	Type	Title	Short Definition	Definition
103	R	Missing A/B Entitlement Date	NO A/B ENT	<p>An enrollment transaction (Transaction Type 61) was rejected because the beneficiary does not have entitlement for Part A and/or enrollment in Part B on record (required for enrollment transactions).</p> <p>This TRC will only be returned on enrollment transactions submitted with election type I (Initial Coverage Election Period), E (Initial Enrollment Period for Part D) or J (Default Enrollment Mechanism).</p> <p><b>Plan Action:</b> Verify the beneficiary's Part A / Part B entitlement / enrollment. Take the appropriate actions as per CMS enrollment guidance.</p>
104	R	Rejected; Invalid or Missing Election Type	BAD ELECT TYPE	<p>An enrollment (Transaction Type 61) or disenrollment (Transaction Type 51) was rejected because the submitted Election Type Code is missing, contains an invalid value, or is not appropriate for the plan or for the transaction type.</p> <p>The valid Election Type Code values are:</p> <ul style="list-style-type: none"> <li>A - Annual Election Period (AEP)</li> <li>D - MA Annual Disenrollment Period (MADP) (Valid with effective dates through 3/1/2018)</li> <li>E - Initial Enrollment Period for Part D (IEP)</li> <li>F - Second Initial Enrollment Period for Part D (IEP2)</li> <li>I - Initial Coverage Election Period (ICEP)</li> <li>J - Default Enrollment Mechanism (DEM)</li> <li>L - LIS SEP (LIS SEP)</li> <li>M - Medicare Advantage Open Enrollment Period (MA-OEP)</li> <li>N - Open Enrollment for Newly Eligible Individuals (OEPNEW) (Valid through 12/31/2010)</li> <li>O - Open Enrollment Period (OEP) (Valid through 3/31/2010)</li> <li>T - Open Enrollment Period for Institutionalized Individuals (OEPI)</li> </ul> <p><b>Special Enrollment Periods</b></p> <ul style="list-style-type: none"> <li>C - SEP for Plan-submitted rollovers <ul style="list-style-type: none"> <li>• <i>Plan-submitted rollover enrollments (Enrollment Source Code = N)</i></li> </ul> </li> <li>U - SEP for Loss of Dual Eligibility or for Loss of LIS</li> <li>V - SEP for Changes in Residence</li> <li>W - SEP EGHP (Employer/Union Group Health Plan)</li> <li>Y - SEP for CMS Casework Exceptional Conditions</li> <li>X - SEP for Administrative Change <ul style="list-style-type: none"> <li>• <i>Involuntary Disenrollment</i></li> <li>• <i>Premium Payment Option Change</i></li> </ul> </li> </ul>

## Attachment C Updates to Transaction Reply Code (TRCs)

Updated TRCs				
Code	Type	Title	Short Definition	Definition
				<ul style="list-style-type: none"> <li>• <i>Plan-submitted “Canceling” Transaction</i></li> </ul> <p>Z – SEP for:</p> <ul style="list-style-type: none"> <li>• <i>Auto-Enrollment (Enrollment Source Code = A)</i></li> <li>• <i>Facilitated Enrollment (Enrollment Source Code = C)</i></li> <li>• <i>Plan-Submitted Auto-Enrollment (Enrollment Source Code = E) and Transaction Type 61 (PBP Change) and MA or Cost Plan (all conditions must be met)</i></li> <li>• <i>LINET Enrollment (Enrollment Source Code = G)</i></li> </ul> <p>S – Special Enrollment Period (SEP)</p> <p>The value expected in Election Type Code depends on the Plan and transaction type, as well as on when the beneficiary gains entitlement. Each Election Type Code can be used only during the election period associated with that election type. Additionally, there are limits on the number of times each election type may be used by the beneficiary.</p> <p><b>Plan Action:</b> Review the detailed information on Election Periods in <i>Chapter 2 of the Medicare Managed Care Manual</i> or the <i>PDP Guidance on Eligibility, Enrollment and Disenrollment</i>. Determine the appropriate Election Type Code value and resubmit, if appropriate.</p>
108	R	Rejected, Election Limits Exceeded	NO MORE ELECTS	<p>A transaction for which an election type is required (Transaction Types 51, 61) was rejected because the transaction will exceed the beneficiary’s election limits for the submitted election type.</p> <p>The valid Election Type values which have limits are:</p> <ul style="list-style-type: none"> <li>A - Annual Election Period (AEP) 1 per calendar year</li> <li>E - Initial Enrollment Period for Part D (IEP) 1 per lifetime</li> <li>F - Initial Enrollment Period for Part D (IEP2) 1 per lifetime</li> <li>I - Initial Coverage Election Period (ICEP) 1 per lifetime</li> <li>J –Default Enrollment Mechanism (DEM) 1 per lifetime</li> <li>L- LIS SEP (LIS SEP) 1 per quarter (cannot be used in October, November or December)</li> <li>M – Medicare Advantage Open Enrollment Period (MA-OEP) 1 per calendar year</li> </ul> <p><b>Plan Action:</b> Review the discussion of election type requirements in <i>Chapter 2 of the Medicare Managed Care Manual</i> or the <i>PDP Guidance on Eligibility, Enrollment</i></p>

## Attachment C Updates to Transaction Reply Code (TRCs)

Updated TRCs				
Code	Type	Title	Short Definition	Definition
				<i>and Disenrollment.</i> Correct the election type and resubmit the transaction if appropriate.
334	R	Reject, Invalid Drug Class	INV CLASS	<p>A CARA Status transaction (2019 or later) or a POS Drug Edit (2018 or earlier) (Transaction Type code 90) was rejected because:</p> <ul style="list-style-type: none"> <li>the submitted Drug Class field was blank or contained an invalid value</li> </ul> <p><b>Plan Action:</b> Correct the Drug Class and resubmit the transaction, if appropriate.</p>
343	I	CARA Status Drug Class Inactive	CARA CLASS OBS	<p>The Drug Class is no longer valid for reporting CARA Status records. This beneficiary has a CARA Status record with a notification or implementation start or end date that is after the end date for the Drug Class.</p> <p><b>Plan Action:</b> End date or delete the impacted CARA Status Records, if appropriate.</p>
367	R	Enrollment Rejected, incorrect ESC or ETC	BAD ESC OR ETC	<p>This enrollment transaction was rejected because it contained an Enrollment Source Code or Election Type Code that indicated it was a default enrollment transaction, but only one of these values were submitted.</p> <p>Plan-submitted default enrollment transactions must have an Enrollment Source Code = 'B' and Election Type Code = 'J'.</p> <p><b>Plan Action:</b> Correct the enrollment source code or election type code and resubmit the enrollment transaction.</p>
369	R	Enrollment Rejected, IEP/ICEP enroll available	IEP/ICEP AVAIL	<p>This default enrollment transaction (Transaction Type 61) was rejected because an IEP/ICEP enrollment transaction with the same application date was already accepted.</p> <p><b>Plan Action:</b> Update the Plan's records accordingly. Take the appropriate actions as per CMS enrollment guidance.</p>
370	R	Enrollment Rejected, Invalid Plan for DEM	INVAL DEM PLN	<p>This default enrollment transaction (Transaction Type 61) was rejected because it was submitted for an invalid plan. Default enrollments are only valid for plans approved by CMS.</p> <p><b>Plan Action:</b> Update the Plan's records accordingly. Take the appropriate actions as per CMS enrollment guidance.</p>

## Attachment C Updates to Transaction Reply Code (TRCs)

**Table 2: New TRCs**

New TRCs				
Code	Type	Title	Short Definition	Definition
373	R	Rejected, Beneficiary without MA Enrollment or ICEP	REJECT MAOEP	<p>This Medicare Advantage Open Enrollment Period (MA-OEP) transaction was rejected because one of the transaction types below was submitted and the beneficiary is not actively enrolled in an MA or MAPD plan with the ICEP Election Type Code (i.e. – the beneficiary is not newly MA-eligible).</p> <ul style="list-style-type: none"> <li>The enrollment (Transaction Type 61) transaction was submitted with an application date that is outside the regular MA-OEP (i.e. – the application date is not within January 1 – March 31), and within the beneficiary’s first three months of entitlement to Part A and Part B, or</li> <li>The disenrollment (Transaction Type 51 or 54) transaction was submitted with an effective date that is outside the regular MA-OEP (i.e. – the effective date is not February 1, March 1, or April 1), and within the beneficiary’s first three months of entitlement to Part A and Part B.</li> </ul> <p><b>Plan Action:</b> Update the Plan’s records accordingly. Take the appropriate actions as per CMS enrollment guidance.</p>
374	R	LIS SEP Enrollment Rejected	LIS SEP REJ	<p>This TRC will only be returned on enrollment transactions submitted with election type L. This LIS SEP transaction (‘L’ election type code) was rejected because the beneficiary has a CARA Status.</p> <ul style="list-style-type: none"> <li>The enrollment transaction (Transaction Type 61) was submitted with an application date that falls between a CARA Status notification or implementation start and end date, including the first and last day.</li> <li>The disenrollment transaction (Transaction Type 51 or 54) was submitted with an effective date between a CARA Status notification or implementation start and end date, including the first and last day.</li> </ul>
375	A	CARA Status Accepted as Submitted	CARA ACC	<p>A submitted CARA Status transaction (TC 90) was successfully processed. The TRC is applicable for add, update and delete transactions.</p> <p>The TRC will also be issued when a CARA Status record is submitted via the MARx UI by a Plan User with CARA Status Update Authority.</p> <p><b>Plan Action:</b> None</p>

## Attachment C Updates to Transaction Reply Code (TRCs)

New TRCs				
Code	Type	Title	Short Definition	Definition
376	I	New Enrollee CARA Status Notification	CARA ENR NOT	<p>The beneficiary had an active CARA Status associated with the enrollment immediately preceding this enrollment. The contract ID associated with this earlier enrollment is supplied in DTRR data record field 24. This TRC supplies additional information about an accepted enrollment transaction. For a beneficiary with an active CARA Status, the transaction reply with TRC376 is provided in addition to the reply with the enrollment acceptance TRC.</p> <p><b>Plan action:</b> Contact the Plan associated with the previous enrollment for pertinent details about the beneficiary's CARA Status and case management file.</p>
377	R	CARA Status Invalid Enrollment	CARA INV ENR	<p>A CARA Status transaction (TC 90) was rejected for one of the following reasons:</p> <ul style="list-style-type: none"> <li>The notification or implementation start or end date is outside of the contract enrollment period</li> <li>There is an enrollment gap between two of the dates on the transaction</li> </ul> <p><b>Plan Action:</b> Correct the date(s) and resubmit the transaction, if appropriate. If the beneficiary re-enrolled in the Contract with a gap between the two enrollments, submit new records using a notification start date that is equal to or later than the new enrollment effective date.</p>
378	R	CARA Status Invalid Contract	CARA INV CON	<p>A CARA Status transaction (TC 90) was rejected because the submitting contract is:</p> <ul style="list-style-type: none"> <li>A LI-Net Plan</li> <li>Not a Part D Plan</li> </ul> <p><b>Plan Action:</b> Correct the contract number and resubmit the CARA Status transaction, if appropriate.</p>
379	R	CARA Date Invalid	CARA DT INVAL	<p>A CARA Status transaction (TC 90) rejected because one of the following occurred:</p> <ul style="list-style-type: none"> <li>Notification end date prior to notification start date</li> <li>Implementation end date prior to implementation start date</li> <li>Implementation end date without an implementation start date</li> <li>Notification end date more than 60 days from notification start date</li> <li>Implementation start date later than one day after the notification end date</li> <li>Implementation start date is before notification start date</li> </ul> <p><b>Plan Action:</b> Correct the date(s) and resubmit the transaction, as appropriate.</p>

## Attachment C Updates to Transaction Reply Code (TRCs)

New TRCs				
Code	Type	Title	Short Definition	Definition
380	R	CARA Status Duplicate Transaction	CARA DUP	<p>A CARA Status transaction (TC 90) was rejected because it is a duplicate. The submitted transaction matched the following values on an existing CARA Status record:</p> <ul style="list-style-type: none"> <li>Notification start and end dates <ul style="list-style-type: none"> <li>If the notification end date exists</li> </ul> </li> <li>Implementation start and end dates <ul style="list-style-type: none"> <li>If either exists</li> </ul> </li> <li>POS Edit Code (PS1, PS2 or blank)</li> <li>Prescriber Limitation (Yes or No)</li> <li>Pharmacy Limitation (Yes or No)</li> <li>Drug Class Code</li> </ul> <p>This TRC will only be issued for add and update transactions, not delete transactions.</p> <p><b>Plan Action:</b> None required.</p>
381	R	CARA Limitation Overlap	CARA LIMIT OVERLAP	<p>A CARA Status transaction (TC 90) was rejected because it caused an overlap with an existing CARA Status record within the same date ranges. An overlap is defined as two records for the same beneficiary, contract, drug class with any of the below simultaneously:</p> <ul style="list-style-type: none"> <li>POS Edit Codes – either the same or different</li> <li>Prescriber Limitation</li> <li>Pharmacy Limitation</li> </ul> <p><b>Plan Action:</b> Correct the transaction and resubmit the transaction, as appropriate.</p>
382	R	Invalid Implementation End	INVL IMPL END	<p>This CARA Status transaction (TC 90) was rejected because</p> <ul style="list-style-type: none"> <li>The original implementation end date is one year from the implementation start date OR</li> <li>A subsequent update will cause the implementation end date to be more than two years after the implementation start date.</li> </ul> <p><b>Plan Action:</b> Correct the date(s) and resubmit the transaction, as appropriate.</p>
383	R	Late Implementation Extension	LATE IMPL EXTN	<p>This CARA Status “Update” transaction (TC 90) was rejected because there was an end date extension after:</p> <ul style="list-style-type: none"> <li>An implementation end date has passed AND</li> <li>The transaction was submitted more than thirteen months from the implementation start date</li> </ul> <p><b>Plan Action:</b> Correct the date(s) and resubmit the transaction, as appropriate.</p>



## Attachment C Updates to Transaction Reply Code (TRCs)

New TRCs				
Code	Type	Title	Short Definition	Definition
384	R	Blank CARA Transaction	BLANK CARA TRNS	<p>This CARA Status “Add” transaction (TC 90) was rejected because the POS Edit Status Code, Prescriber Limitation, AND Pharmacy Limitation are ALL ‘N’ (no) or blank</p> <p>This CARA Status “Update” transaction (TC 90) was rejected because as a result of processing the transaction, the POS Edit Status Code, Prescriber Limitation, AND Pharmacy Limitation would ALL be ‘N’ (no) or blank</p> <p><b>Plan Action:</b> Correct the transaction and resubmit, as appropriate. An add or update transaction must have a value of ‘Y’ for at least one of the following fields: POS Edit Status Code, Pharmacy Limitation, or Prescriber Limitation. A delete transaction may be necessary, instead of an add or update transaction.</p>
385	R	CARA POS Edit Status /Code Error	POS STATUS ERR	<p>This CARA Status transaction (TC 90) was rejected because the submitted:</p> <ul style="list-style-type: none"> <li>• POS Edit Status field is blank or N and the POS Edit Code field is populated with PS1 or PS2</li> <li>• POS Edit Status field is Y but the POS Edit Code field is blank</li> </ul> <p><b>Plan Action:</b> Correct the POS Edit Code and resubmit the transaction, as appropriate.</p>
386	R	Invalid CARA Edit Code/Limitation	INV EDIT/LIMIT	<p>This CARA Status transaction (TC 90) was rejected because the submitted:</p> <ul style="list-style-type: none"> <li>• Prescriber Limitation Status contains an invalid value OR</li> <li>• Pharmacy Limitation Status contains an invalid value OR</li> <li>• POS Edit Status contains an invalid value OR</li> <li>• POS Edit Code contains an invalid value</li> </ul> <p><b>Plan Action:</b> Correct the Limitation and/or POS Edit and resubmit the transaction, as appropriate.</p>
387	R	CARA Status Delete Error	CARA DEL ERR	<p>A CARA Status transaction (TC 90) was rejected because the transaction attempted to delete an existing CARA Status Record but there is no corresponding existing record.</p> <p><b>Plan Action:</b> Correct the information provided and resubmit the transaction, if appropriate.</p>
388	R	Future CARA Status Start Date Exceeds CCM Plus One	CARA FUT	<p>A CARA Status transaction (TC 90) was rejected because the submitted notification or implementation start date is later than the end of the month that follows the current calendar month.</p> <p><b>Plan Action:</b> Correct the date(s) and resubmit the transaction, as appropriate.</p>

### Attachment C Updates to Transaction Reply Code (TRCs)

New TRCs				
Code	Type	Title	Short Definition	Definition
389	F	Failed, CARA Status Date Invalid for DB Insertion	F CARA DT INVALID	<p>A CARA Status transaction (TC 90) failed because one of the following dates is either not formatted as YYYYMMDD (e.g., “Aug 1940”) or is formatted correctly but contains a nonexistent month or day (e.g., “19400199”):</p> <ul style="list-style-type: none"> <li>Notification Start Date <ul style="list-style-type: none"> <li>A blank notification start date on a transaction (TC 90)</li> </ul> </li> <li>Notification End Date</li> <li>Implementation Start Date</li> <li>Implementation End Date</li> </ul> <p>The failed transaction record is not returned in the DTRR data file. It is returned on the Batch Completion Status Summary (BCSS) data file.</p> <p><b>Plan Action:</b> Correct the date(s) and resubmit the transaction, as appropriate.</p>
390	R	Reject, Invalid CARA A/U/D	CARA INV A/ U/D	<p>A POS Drug Edit transaction (TC 90) was rejected because the submitted Add/Update/Delete flag is blank or contains an invalid value.</p> <p>Valid values are A (Add), U (Update) or D (Delete).</p> <p><b>Plan Action:</b> Correct the Add/Update/Delete flag and resubmit the transaction, if appropriate.</p>
723	A	CARA Status Accepted as submitted- UI	CARA ACC UI	<p>A CMS User added (updated) a CARA Status record via the MARx UI for this beneficiary.</p> <p><b>Plan Action:</b> None</p>
724	A	CARA Status Deleted - CMS	CARA DEL C	<p>A CMS User deleted a CARA Status record via the MARx UI for this beneficiary.</p> <p><b>Plan Action:</b> None</p>

## Attachment D, MARx Batch Input Detail Record: Disenrollment Layout – TC 61

Updates are highlighted in yellow.

Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)
9	Election Type Code	1	46	<p> ‘A’ = AEP  ‘C’ = Plan-submitted Rollover SEP  ‘D’ = MADP  ‘E’ = IEP  ‘F’ = IEP2  ‘I’ = ICEP  ‘J’ = DEM  ‘L’ = LIS SEP  ‘M’ = MA-OEP  ‘N’ = OEPNEW  ‘O’ = OEP  ‘R’ = 5 Star SEP  ‘S’ = Other SEP  ‘T’ = OEPI  ‘U’ = Dual/LIS SEP  ‘V’ = Permanent Change in Residence SEP  ‘W’ = EGHP SEP  ‘X’ = Administrative Action SEP  ‘Y’ = CMS/Case Work SEP  Space = not applicable  ‘Z’ = Auto Enrollment, Facilitated Enrollment, Reassign Enrollment, or POS enrollment (current and retro effective dates) </p> <p> (MAs use A, C, D, F, I, J, L, M, N, O, R, S, T, U, V, W, X, and Y.  MAPDs use A, C, E, F, I, J, L, M, N, O, R, S, T, U, V, W, X, and Y.  PDPs use A, C, E, F, L, R, S, U, V, W, X, and Y.) </p> <p> Reject with TRC 104 when: <ul style="list-style-type: none"> <li>The value is not “U” and the enrollment is for an MMP plan OR</li> <li>The value is not “C” and the enrollment is a Plan-submitted rollover OR</li> <li>Value is not a valid election type: A, C, D, E, F, I, J, L, M, N, O, R, S, T, U, V, W, X, Y, Z</li> </ul> Blank is acceptable. </p>

## Attachment E, MARx Batch Input Detail Record: Disenrollment Layout – TC 51 or 54

Updates are highlighted in yellow.

MARx Batch Input Detail Record: Disenrollment Layout – TC 51 or 54					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
9	Election Type	1	46	<p>Must be one of the following :</p> <p>A = AEP  <b>D = MADP</b>  E = IEP  I = ICEP  <b>L = LIS SEP</b>  <b>M = MA-OEP</b>  N = OEPNEW  O = OEP  S = Other SEP  T = OEPI  U = Dual/LIS SEP  V = Permanent Change in Residence SEP  W = EGHP SEP  X = Administrative Action  Y = CMS/Case Work SEP  Z = Auto Enrollment, Facilitated Enrollment, Reassign Enrollment, or POS enrollment (current and retro effective dates).</p> <p>MAs have A, D, I, L, M, N, O, S, T, U, V, W, X, Y.  MAPDs have A, D, E, I, L, M, N, O, S, T, U, V, W, X, Y, Z.  PDPs have A, E, L, S, U, V, W, X, Y, Z.</p> <p>Issue TRC104 if an invalid election type is submitted.</p>	Required for all Plan types except: HCPP, COST 1 without drug, COST 2 without drug, CCIP/FFS demo, MDHO demo, MSHO demo, and PACE National Plans

## Attachment F, MARx Batch Input Detail Record: CARA Status – TC 90

MARx Batch Input Detail Record: CARA Status – TC 90					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
1.	Beneficiary Identifier	12	1 – 12	<p><b>Reject</b> the transaction with TRC007 if following criteria is not met during MBI transition:</p> <ol style="list-style-type: none"> <li>Format must be one of the following: <ul style="list-style-type: none"> <li>HICN is a 7 to 12 position value, with the first 1 to 3 positions possible alphas, and the last 6 or 9 positions numeric (RRB number).</li> <li>HICN is an 11-position value, with the first 9 positions numeric and the last 2 positions being alpha in the first space and alpha-numeric or blank in the second (Non-RRB number).</li> <li>MBI is an 11-position value. The 2<sup>nd</sup>, 5<sup>th</sup>, 8<sup>th</sup> and 9<sup>th</sup> positions are alphas.</li> </ul> </li> <li>String must contain NO embedded spaces.</li> </ol> <p><b>Reject</b> the transaction with TRC008 if the beneficiary identifier is not found.</p>	Required
2.	Surname	12	13 – 24	<b>Reject</b> the transaction with TRC004 if the field is blank and the First Name field is also blank.	Required
3.	First Name	7	25 – 31	<b>Reject</b> transaction with TRC004 if the field is blank and the Surname field is also blank.	Required
4.	M. Initial	1	32	N/A	Optional
5.	Gender Code	1	33	If the value is not “1” = male or “2” = female, do not reject the transaction, set the value to unknown (“0”).	Required

## Attachment F, MARx Batch Input Detail Record: CARA Status – TC 90

MARx Batch Input Detail Record: CARA Status – TC 90					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
6.	Birth Date	8	34 – 41	<b>Format</b> (YYYYMMDD) <b>Fail the</b> transaction with TRC257 if the date is not formatted correctly or contains an invalid month or day and there is no beneficiary match. <b>Reject</b> the transaction with TRC006 if the date is non-blank and formatted correctly, but is less than 1870, or greater than current year and there is no beneficiary match. Note: The beneficiary is considered matched if three out of four personal characteristics match (and the input MBI (or HICN until the end of transition) was found on the database.) If the beneficiary is matched the invalid or incorrect birth date is ignored.	Required
7.	Filler	5	42 – 46	N/A	N/A
8.	Contract #	5	47 – 51	<b>Fail</b> the transaction with TRC003 if the field is blank or the contract does not exist. <b>Reject</b> the transaction with TRC378 if it is a LI-NET contract.	Required
9.	Filler	8	52 – 59	N/A	N/A
10.	Transaction Code	2	60 – 61	<b>Fail</b> with TRC001 if the value is not '90'	Required
11.	Filler	13	62 – 74	N/A	N/A

## Attachment F, MARx Batch Input Detail Record: CARA Status – TC 90

MARx Batch Input Detail Record: CARA Status – TC 90					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
12.	Add/Update/Delete Flag	1	75	<p><b>Reject</b> the transaction with TRC336 until January 1, 2019. The valid values are: “U” = Update “D” = Delete</p> <p>On or after January 1, 2019 <b>Reject</b> with TRC390 if the value provided is not valid. The valid values are: “A” = Add “U” = Update “D” = Delete</p>	<p>Required</p> <p>For an ‘add’, the drug class and notification start date (and any other dates provided) will be added to the database for the CARA Status fields (17, 19, 20) that contain a value of Y.</p> <p>For ‘updates’ the database records for the drug class and notification start date (and any other dates provided) will be updated for the CARA Status fields (17, 19, 20) that contain a value of Y or N.</p> <p>For ‘deletes’, the CARA Status fields (17, 19, 20) with a value of “Y” will be deleted.</p>
13.	Filler	1	76	N/A	N/A
14.	Drug Class	3	77 – 79	<b>Reject</b> the transaction with TRC334 if the value provided is not valid.	Required
15.	Notification Start Date (YYYYMMDD)	8	80 – 87	<p><b>Fail</b> the transaction with TRC332 until January 1, 2019. On or after January 1, 2019 <b>Fail</b> with TRC389 if the notification start date:</p> <ul style="list-style-type: none"> <li>• is blank, or</li> <li>• not formatted correctly, or</li> <li>• contains an invalid month or day</li> </ul> <p>Reject the transaction with TRC388 if the notification start date is later than CCM plus one.</p>	Required

## Attachment F, MARx Batch Input Detail Record: CARA Status – TC 90

MARx Batch Input Detail Record: CARA Status – TC 90					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
16.	Notification End Date (YYYYMMDD)	8	88 – 95	<p><b>Fail</b> the transaction with TRC389 if the notification end date is not formatted correctly or contains an invalid month or day.</p> <p><b>Reject</b> the transaction with TRC379 if the notification end date provided is not within 60 days after the notification start date. For example, if the notification start date is August 1<sup>st</sup> the notification end date must be between August 1<sup>st</sup> and September 29<sup>th</sup> (inclusive).</p>	<p>Optional</p> <p>– if provided, the end date will be applied to all fields (17, 19, 20) that have a Status field value of “Y” on this transaction.</p> <p>– if provided: (must be within 60 days after the Notification Start Date</p> <p><b>AND</b> one day prior to the Implementation Start Date )</p> <p><b>OR</b> the notification start, notification end and implementation start dates must all be the same</p>
17.	POS Edit Status	1	96	<p><b>Reject</b> the transaction with TRC385 if the POS Edit Status is blank or N and the POS Edit Code field is populated with a valid value</p> <p><b>Reject</b> the transaction with TRC385 if the POS Edit Status is Y but the POS Edit Code field is blank.</p> <p><b>Reject</b> the transaction with TRC386 if value provided is not valid.</p> <p>Valid values:</p> <ul style="list-style-type: none"> <li>• Y – Yes</li> <li>• N – No</li> <li>• Blank (Space)</li> </ul>	<p>Optional</p> <p>Y = Indicates that a notification of a POS Edit has been sent <b>or</b> that a POS Edit has been implemented</p> <p>N = No POS Edit</p> <p>[space] = Not reported or No change to a previously reported POS Edit. Any date updates made as a result of this transaction will not be applied to this attribute if this field is populated with a Blank (Space)</p>



## Attachment F, MARx Batch Input Detail Record: CARA Status – TC 90

MARx Batch Input Detail Record: CARA Status – TC 90					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
18.	POS Edit Code	3	97 – 99	<p><b>Reject</b> the transaction with TRC335 until January 1, 2019.</p> <p>On or after January 1, 2019 <b>Reject</b> with TRC386 if the value provided is not valid.</p> <p>As of January 1, 2019, blank is a valid value.</p> <p><b>Reject</b> the transaction with TRC385 if the POS Edit Status is blank or N and the POS Edit Code is populated with a valid value. <b>Reject</b> the transaction with TRC385 if the POS Edit Status is Y but the POS Edit Code is blank.</p>	Optional; Required when POS Edit Status is 'Y'.
19.	Prescriber Limitation Status	1	100	<p><b>Reject</b> the transaction with TRC386 if the value provided is not valid.</p> <p>Valid values:</p> <ul style="list-style-type: none"> <li>• Y – Yes</li> <li>• N – No</li> <li>• Blank (Space)</li> </ul>	Optional Y = Indicates that a notification of a prescriber limitation has been sent <b>or</b> that a prescriber limitation has been implemented N = No Prescriber Limitation [space] = Not reported or No change to the Prescriber Limitation. Any date updates made as a result of this transaction will not be applied to this attribute if this field is populated with a Blank (Space)

## Attachment F, MARx Batch Input Detail Record: CARA Status – TC 90

MARx Batch Input Detail Record: CARA Status – TC 90					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
20.	Pharmacy Limitation Status	1	101	<p><b>Reject</b> the transaction with TRC386 if value provided is not valid.</p> <p>Valid values:</p> <ul style="list-style-type: none"> <li>• Y – Yes</li> <li>• N – No</li> <li>• Blank (Space)</li> </ul>	<p>Optional</p> <p>Y = Indicates that a notification of a pharmacy limitation has been sent <b>or</b> that a pharmacy limitation has been implemented</p> <p>N = No Pharmacy Limitation</p> <p>[space] = Not reported or No change to the Pharmacy Limitation. Any date updates made as a result of this transaction will not be applied to this attribute if this field is populated with a Blank (Space).</p>
21.	Implementation Start Date (YYYYMMDD)	8	102–109	<p><b>Fail</b> the transaction with TRC332 until January 1, 2019.</p> <p>On or after January 1, 2019 <b>Fail</b> with TRC389, if the implementation start date is not formatted correctly or contains an invalid month or day.</p> <p><b>Reject</b> the transaction with TRC379 if the implementation start date is less than the Notification start date.</p> <p><b>Reject</b> the transaction with TRC379 if the implementation start date is later than the implementation end date or more than one day after the notification end date.</p> <p><b>Reject</b> the transaction with TRC388 if the implementation start date is later than CCM plus one.</p>	<p>Optional</p> <p>– if provided, the implementation start date applies to all fields (17, 19, 20) that have a Status field value of “Y” on this transaction.</p>

**Attachment F, MARx Batch Input Detail Record: CARA Status – TC 90**

MARx Batch Input Detail Record: CARA Status – TC 90					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
22.	Implementation End Date (YYYYMMDD)	8	110-117	<p><b>Fail</b> the transaction with TRC332 until January 1, 2019.</p> <p>On or after January 1, 2019, <b>Fail</b> with TRC389 if the implementation end date is not formatted correctly or contains an invalid month or day.</p> <p><b>Reject</b> the transaction with TRC382 if the initial implementation end date provided is more than one year from the implementation start date or an extension end date is more than two years from the implementation start date.</p> <p><b>Reject</b> the transaction with TRC383 if the implementation end date has passed and it is later than thirteen months from the implementation start date.</p> <p><b>Reject</b> the transaction with TRC 379 if an implementation end date is submitted without an implementation start date.</p>	<p>Optional</p> <ul style="list-style-type: none"> <li>– if provided, the implementation end date will apply to all fields (17, 19, 20) that have a Status field value of “Y” on this transaction</li> <li>– if provided (first time) must be after and within 1 year of the implementation start date. For example, if the implementation start date is 1/1/2019, the last valid implementation end date is 12/31/2019.</li> </ul> <p>Can be extended to within two years of Implementation start date on subsequent update transactions.</p> <p>Cannot be extended if the implementation end date has passed and the date MARx receives the transaction is more than 13 months from the implementation start date.</p>
23.	Filler	92	118– 209	N/A	N/A
24.	Plan Assigned Transaction Tracking ID	15	210 – 224	Fifteen character tracking ID	Optional
25.	Filler	76	225 – 300	N/A	N/A

## Attachment G, Patient Assistance Program (PAP) Coverage Period Scenarios

### PAP Coverage Period Scenarios

#### **Scenario A: No NDC changes during year**

The PAP coverage record is representative of the NDC coverage and termination dates. Thus, if NDC code 1 and NDC code 2 display with a common coverage effective date of January 1, 2018, this means that the PAP is covering the two indicated drugs starting January 1, 2018. Therefore, Scenario A, is representative of this situation:

A PAP submits the NDCs that are covered at the beginning of the year and identifies no changes to coverage throughout the year:

- The PAP submits a coverage record with an effective date of 1/1/18 with two NDCs, NDC-1 and NDC-2.
- No further updates/changes are needed to the coverage record, as no NDCs are added.
  - Therefore, NDC-1 is covered from 1/1/2018 through 12/31/2018; and
  - NDC-2 is covered from 1/1/2018 through 12/31/2018.

#### **Scenario B: Addition of new NDC during year**

There may be times when a particular PAP covers one or more NDC with the start of a calendar year, but then begins to cover an additional new NDC at some point before the end of a calendar year.

When this situation presents itself, the Benefits Coordination & Recovery Center (BCRC) will require the PAP to terminate the previous PAP coverage record and then include the previous NDC(s) on the revised PAP record along with the newly added NDC. Scenario B, is representative of this situation:

A PAP submits the NDCs that are covered at the beginning of the year but identifies a new NDC that should be covered part-way through the year. For the example below, the effective date of coverage for the new NDC is 3/1/2018:

- The PAP submits a coverage record with an effective date of 1/1/18 with two NDCs, NDC-1 and NDC-2.
- On 3/1/18, coverage for NDC3 should be added.
- On the next monthly file submission (i.e., March), the Plan will send two (2) records:
  - An update with a 2/28/18 termination date for the original coverage record which contained NDC-1 and NDC-2.
  - **A new coverage record with an effective date of 3/1/18 is submitted which includes NDC-1, NDC-2, and NDC-3.**
- Therefore, NDC-1 and NDC-2 are covered from 1/1/2018 through 12/31/2018; and
- NDC-3 is covered from 3/1/2018 through 12/31/2018.

## Attachment H, Updates to the Beneficiary Eligibility Query (BEQ) Response File

The BEQ process will limit the beneficiary's display of CARA Status Periods to the ten most recent occurrences sorted in descending order based on the CARA Status Start Date.

Updates also consist of the inclusion of the date that the beneficiary last used the Duals SEP; these additional fields will appear in the filler of the current detail record. Below is the layout for the new fields:

Updates to the Beneficiary Eligibility Query (BEQ) Response File					
Item	Field	Length	Position	Format	Valid Values
175	Most Recent Duals SEP Use Date	8	1567-1574	Numeric	CCYYMMDD
176	CARA Status Start Date (1)	8	1575-1582	Numeric	CCYYMMDD
177	CARA Status End Date (1)	8	1583-1590	Numeric	CCYYMMDD
178	CARA Status Start Date (2)	8	1591-1598	Numeric	CCYYMMDD
179	CARA Status End Date (2)	8	1599-1606	Numeric	CCYYMMDD
180	CARA Status Start Date (3)	8	1607-1614	Numeric	CCYYMMDD
181	CARA Status End Date (3)	8	1615-1622	Numeric	CCYYMMDD
182	CARA Status Start Date (4)	8	1623-1630	Numeric	CCYYMMDD
183	CARA Status End Date (4)	8	1631-1638	Numeric	CCYYMMDD
184	CARA Status Start Date (5)	8	1639-1646	Numeric	CCYYMMDD
185	CARA Status End Date (5)	8	1647-1654	Numeric	CCYYMMDD
186	CARA Status Start Date (6)	8	1655-1662	Numeric	CCYYMMDD
187	CARA Status End Date (6)	8	1663-1670	Numeric	CCYYMMDD
188	CARA Status Start Date (7)	8	1671-1678	Numeric	CCYYMMDD
189	CARA Status End Date (7)	8	1679-1686	Numeric	CCYYMMDD
190	CARA Status Start Date (8)	8	1687-1694	Numeric	CCYYMMDD
191	CARA Status End Date (8)	8	1695-1702	Numeric	CCYYMMDD
192	CARA Status Start Date (9)	8	1703-1710	Numeric	CCYYMMDD
193	CARA Status End Date (9)	8	1711-1718	Numeric	CCYYMMDD

## Attachment H, Updates to the Beneficiary Eligibility Query (BEQ) Response File

Updates to the Beneficiary Eligibility Query (BEQ) Response File					
Item	Field	Length	Position	Format	Valid Values
194	CARA Status Start Date (10)	8	1719-1726	Numeric	CCYYMMDD
195	CARA Status End Date (10)	8	1727-1734	Numeric	CCYYMMDD
196	Filler	266	1735-2000	Character	Spaces

## Attachment I, M232 and M254 Screenshots

CMS

Medicare Advantage Prescription Drug (MARx)

Welcome
Beneficiaries
Payments

Find
Eligibility

Beneficiary: Eligibility (M232)

User:
Role: MCO REPRESENTATIVE
Date: 9/20/2018

Print
Help...

Enter the beneficiary ID of the beneficiary.
\*Indicates required field

\*Beneficiary ID

X

Find

Claim Number: XXXXXXXXXA
MBI Number: 1A00A00AA00
Name: JANE DOE
Birth Date: 11/17/1957
Date of Death:
Sex: F
Address: BENEFICIARY ADDRESS  
CITY, STATE 75231-6179
Most recent State: VA (49)
Most recent County: WESTMORELAND (960)

Enrollment Information for 09/20/2018

Contract	PBP	Plan Type Code & Description	Start	End	Drug Plan
SXXXX	XXX	29 - MEDICARE PRESCRIPTION DRUG PLAN	01/01/2018		Y
SXXXX	XXX	29 - MEDICARE PRESCRIPTION DRUG PLAN	01/01/2016	12/31/2017	Y
		29 - MEDICARE PRESCRIPTION DRUG PLAN	02/01/2015	12/31/2015	Y

Entitlement Information

Part	Start	End	Option
A	01/01/2007		E
B	11/01/2013	12/31/2013	W
B	07/01/2015		Y

Eligibility Information

Part	Start	End
D	01/01/2007	

Medicare Plan Enrollment Ineligibility Periods Due to Incarceration

Start	End
There is no incarceration information for the beneficiary	

Medicare Plan Enrollment Ineligibility Periods Due to Not Lawfully Present

Start	End
There is no not lawfully present information for the beneficiary	

Number of Uncovered Months

Start Date	Indicator	Number of Uncovered Months	Total Number of Uncovered Months	Record Add-TimeStamp
02/01/2015		0	0	02/23/2015 16:05:02
04/01/2015	L	0	0	07/29/2015 11:08:08
01/01/2016		0	0	07/29/2015 11:08:08
01/01/2017	L	0	0	07/16/2016 10:58:10
01/01/2018		0	0	11/15/2017 07:45:31

Employer Subsidy

Start	End
There are no employer subsidies for the beneficiary	

CARA Status

Start Date	End Date
There is no CARA Status information for the beneficiary	

LIS SEP Election Type Code

Last Used Date	
There is no LIS SEP Election Type Code information for the beneficiary	

Low Income Status

Subsidy Start Date	Subsidy End Date	Premium Subsidy Level	Co-Payment Level	Subsidy Source
04/01/2015	12/31/2015	100%	3	DEEMED
01/01/2016	12/31/2016	100%	3	DEEMED
01/01/2017	12/31/2017	100%	3	DEEMED

## Attachment I, M232 and M254 Screenshots

Claim #: XXXXXXXXXX MBI #: 1A00A00AA00 BENEFICIARY ADDRESS CITY, STATE 75231-6179			JANE DOE ACTIVE			DOB: 12/14/1957 Age: 60 Sex: FEMALE State: VA (49) County: WESTMORELAND (960)		
<a href="#">Update CARA Status</a>								

Update CARA Status (M254)      User:      Role: MCO CARA STATUS USER      Date: 9/20/2018      [Close](#)      [Print](#)      [Help...](#)

Check the Update checkbox and select "Delete Row" to remove a CARA Status record

If the notification and implementation start dates are not equal, the notification end date must be one day before the implementation start date

If the notification and implementation start dates are equal, the notification end date must be the same as the notification start date

Select "Submit" to validate and submit updates

CARA Status Indicator:      Active

	Update	Record Type	Contract	Drug Class	Notification Start Date	Notification End Date	POS Edit Code	Pharmacy Lock-In	Prescriber Lock-In	Implementation Start Date	Implementation End Date	Disenrollment Date	Last Update
New													
1	<input type="checkbox"/>	V	SXXX	OPIOIDS	01/01/2018	01/01/2018	PS2	NO	NO	01/01/2018			01/04/2018 12:23
2	<input type="checkbox"/>	V	SXXX	OPIOIDS	09/08/2016	10/09/2016	PS2	NO	NO	10/10/2016	12/31/2017	12/31/2017	11/15/2017 07:45

[Submit](#)      [Delete Row](#)      [View Audit](#)