



CY 2013 Formulary Supplemental File & Additional Demonstration Drug File Submission Process

Agenda

- Supplemental File Submission
- Additional Demonstration Drug (ADD) File Submission
- Open Q&A

SUPPLEMENTAL FORMULARY FILE SUBMISSION

Supplemental Formulary File Submission

- All Part D supplemental formulary files must be submitted no later than **Friday June 8th**
- Supplemental files CANNOT be submitted until the organization has successfully submitted their related bid(s)
 - This includes all of the bid submission steps (e.g., plan-to-formulary crosswalk, service area verification, PBP upload, etc.)
 - All bid submission steps must be completed by 11:59 PDT, June 4, 2012
- Supplemental file submission process for demonstration plans is the exact same as non-demonstration plans
- All supplemental file layouts are included on the formulary submission homepage under “Submission File Layouts”

Supplemental Formulary File Submission - Continued

- Supplemental files required based on answers in the Plan Benefit Package(PBP) software, which may include one of the following file types:
 - Free First Fill (FFF) Drug File
 - Home Infusion (HI) Drug File
 - Excluded Drug (ExD) File
 - Over-the-Counter (OTC) Drug File
- NOTE: The Partial Gap Coverage file will **not** be applicable to demonstration plans
 - A partial gap coverage file may be required for other contracts/plans associated with the given FID

Supplemental Formulary File Submission - Continued

- All supplemental Part D files are associated at the Formulary ID level
- One-to-one relationship between formulary IDs and supplemental files
 - While multiple plans may still be linked to a single formulary ID, for each supplemental file type only one version can be used across all plans cross-walked to that formulary

Supplemental File Example:

| Contract | Plan | Formulary File | PA File | ST_File | Gap | FFF | HI | EXCL | OTC |
|----------|------|----------------|---------|---------|------|------|------|--------|-------|
| C-1 | 001 | 99999 | PA_1 | ST_1 | none | none | none | none | none |
| C-1 | 002 | 99999 | PA_1 | ST_1 | none | none | none | EXCL_1 | none |
| C-1 | 003 | 99999 | PA_1 | ST_1 | none | none | HI_1 | EXCL_1 | OTC_1 |
| C-1 | 004 | 22222 | PA_1 | ST_1 | none | none | HI_1 | EXCL_2 | OTC_1 |
| C-1 | 005 | 33333 | PA_1 | ST_1 | none | none | HI_1 | EXCL_2 | OTC_2 |

Supplemental File Submission - Screenshot

HPMS

Health Plan Management System

Home

Submission

- Submit New Formulary
- Revise Formulary
- Delete Formulary
- P & T Committee Attestation
- Transition Policy
- Revise Transition Policy
- Submit Partial Gap Coverage File
- Submit Free First Fill File
- Submit Home Infusion File
- Submit OTC File
- Submit Excluded Drug File

Submit FAD Additional Demonstration Drug File

Documentation

- Formulary Instructions
- Formulary Reference File
- Submission File Layouts
- OMB Clearance

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2013 Formulary Submission Start Page

You will use this module to perform the following:

Submit New Formulary - Submit a new Formulary to CMS. This function will create a **new Formulary ID**.

Revise Formulary - Submit a revision for an existing formulary and/or PA/ST files for one of the following reasons:

- The formulary requires resubmission because it was rejected by the validation process or desk review has requested resubmission.
- The formulary was previously approved by desk review and now needs to be updated.
- Revise PA/ST Criteria because the formulary was rejected due to PA/ST validation errors or CMS requested edits on existing criteria.

Delete Formulary - Delete a formulary that is no longer applicable.

P & T Committee Attestation - Submit Contract Pharmacy and Therapeutic (P&T) Committee Attestations.

Transition Policy - Submit Contract Transition Policy Attestation and upload Transition Policy document.

Revise Transition Policy - Submit revised Transition Policy as requested by CMS.

Submit Partial Gap Coverage File - Submit the Gap Coverage Supplemental Files for Formularies that include Gap Coverage.

Submit Free First Fill File - Submit the Free First Fill Supplemental Files for Formularies that include Free First Fill.

Submit Home Infusion File - Submit the Home Infusion Supplemental Files for Formularies that include Home Infusion.

Submit OTC File - Submit the OTC Supplemental Files for Formularies that include OTC.

Submit Excluded Drug File - Submit the Excluded Drug Supplemental Files for Formularies that include Excluded Drugs.

Submit FAD Additional Demonstration Drug File - Submit the Financial Alignment Demo (FAD) Additional Demonstration Drug (ADD) File.

Formulary Instructions - View the instructions for the Formulary Submission Module and Formulary Reports Technical Manual.

Formulary Reference File - Download a copy of the latest 2013 Formulary Reference File, Formulary Reference File Change Report and Contract Year RxCUI Crosswalk File.

Submission File Layouts - View formulary, prior authorization and step therapy file record layouts along with the record layouts for all supplemental files.

OMB Clearance - View OMB Clearance.

CV: 1.10.0.0

ADDITIONAL DEMONSTRATION DRUG (ADD) FILE SUBMISSION

Additional Demonstration Drug (ADD) File Submission

- The Additional Demonstration Drug file must be submitted no later than **June 15, 2012** (12pm EDT)
- This file should include any prescription or OTC products that are required by the state but **cannot** be captured in the base formulary, Excluded Drug file, or OTC Drug file
- The upload must follow the ADD record layout
 - This layout was emailed via an HPMS memo and is posted on the formulary submission homepage under “Submission File Layouts”

Additional Demonstration Drug (ADD) File Submission

- The uploaded file must be a .txt file
- Please use the following naming convention:
ADDfile_FIDxxxxx
- The file may be uploaded as many times as needed prior to the deadline
 - Only the last file will be saved
- All ADD files are associated at the Formulary ID level

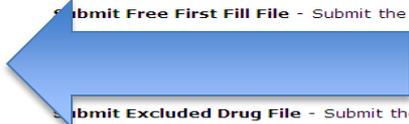
ADD File Submission Link

HPMS **Health Plan Management System**
Home

2013 Formulary Submission Start Page

You will use this module to perform the following:

- Submit New Formulary** - Submit a new Formulary to CMS. This function will create a **new Formulary ID**.
- Revise Formulary** - Submit a revision for an existing formulary and/or PA/ST files for one of the following reasons:
 - The formulary requires resubmission because it was rejected by the validation process or desk review has requested resubmission.
 - The formulary was previously approved by desk review and now needs to be updated.
 - Revise PA/ST Criteria because the formulary was rejected due to PA/ST validation errors or CMS requested edits on existing criteria.
- Delete Formulary** - Delete a formulary that is no longer applicable.
- P & T Committee Attestation** - Submit Contract Pharmacy and Therapeutic (P&T) Committee Attestations.
- Transition Policy** - Submit Contract Transition Policy Attestation and upload Transition Policy document.
- Revise Transition Policy** - Submit revised Transition Policy as requested by CMS.
- Submit Partial Gap Coverage File** - Submit the Gap Coverage Supplemental Files for Formularies that include Gap Coverage.
- Submit Free First Fill File** - Submit the Free First Fill Supplemental Files for Formularies that include Free First Fill.
- Submit Home Infusion Supplemental Files** - Submit the Home Infusion Supplemental Files for Formularies that include Home Infusion.
- Submit OTC Supplemental Files** - Submit the OTC Supplemental Files for Formularies that include OTC.
- Submit Excluded Drug File** - Submit the Excluded Drug Supplemental Files for Formularies that include Excluded Drugs.
- Submit FAD Additional Demonstration Drug File** - Submit the Financial Alignment Demo (FAD) Additional Demonstration Drug (ADD) File.
- Formulary Instructions** - View the instructions for the Formulary Submission Module and Formulary Reports Technical Manual.
- Formulary Reference File** - Download a copy of the latest 2013 Formulary Reference File, Formulary Reference File Change Report and Contract Year RxCUI Crosswalk File.
- Submission File Layouts** - View formulary, prior authorization and step therapy file record layouts along with the record layouts for all supplemental files.
- OMB Clearance** - View OMB Clearance.



Submission
Submit New Formulary
Revise Formulary
Delete Formulary
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ADD File Submission

- All users that have access to the formulary submission module will see the “submit FAD Additional Demonstration Drug File” link
- To submit the file, the user must have access to at least one financial alignment demo (FAD) contract in HPMS
 - It is OK if the formulary is associated to both FAD and non-FAD contracts
- If the user does not have access to any FAD contracts, they will receive a message that states “*There are no formularies available for the FAD Additional Demonstration Drug file upload*”
- Only FAD contracts will display on the ADD Submission Page, even if non-FAD contracts are associated to the formulary

ADD File Submission Page – Select a formulary

FAD Additional Demonstration Drug File

Select a Formulary

If the State requires coverage of additional drugs – whether prescription or OTC drug products that cannot be captured in the base formulary, Excluded Drug file, or OTC Drug file – or, alternatively, interested organizations wish to cover additional drugs as supplemental benefits under the demonstration, interested organizations must submit an Additional Demonstration Drug file to CMS by June 15, 2012.

Note: Only FAD contracts associated to the formulary are listed on the page. To view all the contracts associated to the formulary, please view the Formulary Status History Report.

*Indicates required field.

| * Select Formulary | Formulary ID | Formulary Name | Formulary Version | FAD Contract(s) Associated with Formulary |
|-----------------------|--------------|----------------|-------------------|---|
| <input type="radio"/> | 00000001 | Formulary 1 | 2 | Z0001, Z0002 |
| <input type="radio"/> | 00000002 | Formulary 2 | 2 | Z0002, Z0003, Z0004 |
| <input type="radio"/> | 00000003 | Formulary 3 | 1 | Z0005 |
| <input type="radio"/> | 00000004 | Formulary 4 | 1 | Z0006, Z0007 |
| <input type="radio"/> | 00000005 | Formulary 5 | 1 | Z0007, Z0008, Z0009 |

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Go To: [Formulary Submission Start Page](#) | [Select Contract Year](#)

ADD File Submission - Continued

The screenshot shows the HPMS interface for uploading an ADD file. The header includes the HPMS logo and 'Health Plan Management System' with a 'Home' link. The main heading is 'FAD Additional Demonstration Drug File'. Below it is the 'Upload File' section, which displays the following information: 'Formulary Name: Formulary 1', 'Formulary ID: 00000001', 'Formulary Version: 1', and 'Associated FAD Contracts: Z0001, Z0002'. A horizontal line separates this from the instructions: '1. Step 1. Enter the name of the ADD file (.txt) you would like to upload. If you are unsure of the filename and/or location, click on the "Browse" button to locate the file.' and '2. Step 2. Click Upload.' Below the instructions is a note: '*Indicates required field.' and a form field labeled '*Select ADD file for upload:' with a 'Browse...' button. At the bottom of the form are 'Back' and 'Upload' buttons. A 'Go To:' link is provided at the very bottom, pointing to 'Formulary Submission Start Page' and 'Select Contract Year'.

- Submitted files must be .txt files.
- Contents of the file MUST match ADD Record layout

The screenshot shows the HPMS interface for confirming the submission of an ADD file. The header includes the HPMS logo and 'Health Plan Management System' with a 'Home' link. The main heading is 'FAD Additional Demonstration Drug File'. Below it is the 'Confirm Submission' section, which displays the following information: 'Formulary Name:Formulary 1', 'Formulary ID: 00000001', 'Formulary Version: 2', and 'Associated FAD Contracts:'. A horizontal line separates this from the confirmation message: 'Your FAD Additional Demonstration Drug File has been successfully uploaded.' Below the message is an 'OK' button. At the bottom of the form is a 'Go To:' link pointing to 'Formulary Submission Start Page' and 'Select Contract Year'.

Additional Demonstration Drug File Report

- Report will be available under the Contract Year 2013 Formulary Reports link
- Will display the submitted files for the financial alignment demonstration contracts for which the user has HPMS access
- Report contains a hyperlink of the submitted text file
- This report will ONLY display those ADD files that have been submitted
 - **TIP:** Use as a check to ensure you see all FAD contracts associated with your HPMS user ID are displaying in this report
- Only associated FAD contracts will display, even if non-FAD contracts are associated with the FID
- Report will be exportable to excel

ADD File Report Screenshot

Formulary Reports 2013

Financial Alignment Demo (FAD) – Additional Demonstration Drug File Report

Note: Only FAD contracts associated to the formulary are listed on the page. To view all the contracts associated to the formulary, please view the Formulary Status History Report.

| Formulary ID | Associated FAD Contracts | Submitted Text File | Upload Date |
|--------------|--------------------------|--------------------------------|-------------|
| 00000001 | Z0001 | Submitted Text | 05/01/2012 |
| 00000002 | Z0002, Z0003 | Submitted Text | 04/24/2012 |
| 00000003 | Z0002 | Submitted Text | 05/01/2012 |
| 00000004 | Z0004 | Submitted Text | 04/27/2012 |
| 00000005 | Z0005 | Submitted Text | 04/26/2012 |
| 00000006 | Z0006, Z0007 | Submitted Text | 04/30/2012 |

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Export to Excel

Go To: [Select Contract Year](#) | [Select Report Page](#)

REMINDER: Formulary Linkage

- Financial Alignment Demonstration plans must submit a request to CMS to crosswalk your contract to a previously submitted formulary (linked to non-demonstration contracts) by **May 14, 2012**
- For CMS to complete this contract-to-formulary linkage, the person that submitted the formulary must have access to the contract in HPMS
- All requests must be sent to PartDBenefits@cms.hhs.gov
- If you have any additional questions about the formulary process, please email both PartDBenefits@cms.hhs.gov and MMCOCapsModel@cms.hhs.gov

Open Question & Answer Session

