Retroactive Transaction Processing
&
Enrollment Data Validation Review
&
eRPT Overview and Demo

Presenters – Reed & Associates, CPAs and
CAS Severn Team

Agenda

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Introduction

- RPC Project Officer & eRPT CMS Business Owner
  - Andrea Hamilton
- RPC Project Officer & eRPT CMS Business Owner Back up
  - Tammie Wall
- Retroactive Processing Contractor (RPC)
  - Reed & Associates
- eRPT Development Team
  - CAS Severn, Inc

RPC Responsibility

- Support CMS' program integrity efforts and safeguard program funds by processing retroactive enrollment transactions submitted by organizations
- Performing data analysis to identify possible trends and outliers.
- Provide all data and trend analysis to CMS (central offices and regional offices) for further action and outreach counseling to all participating organizations.

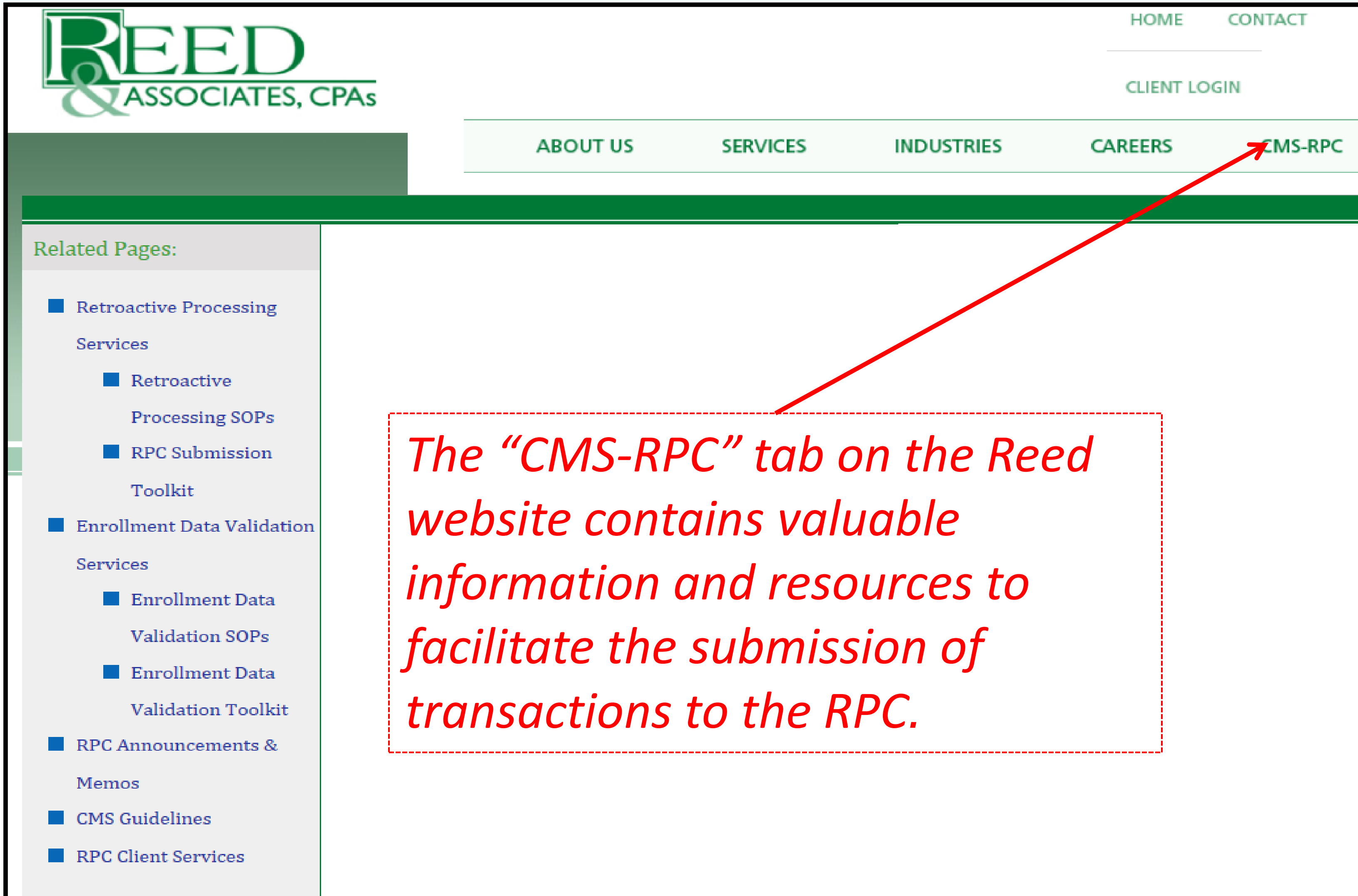
Retroactive Services Supported by the RPC

Enrollment Adjustments	Payment Validation Adjustments	Other Services Performed by the RPC
▪ Retroactive Enrollment: ▪ Standard ▪ Employer/Union Group Health Plan (EGHP) ▪ Auto and Facilitated Enrollments ▪ PACE ▪ Plan Benefit Package (PBP) Changes ▪ Retroactive Disenrollments ▪ Reinstatements ▪ Segment Changes	▪ Medicaid Status Changes ▪ Low-Income Subsidy Deeming Updates ▪ ESRD Status Changes* ▪ State and County Code Updates ***Note**: The RPC does not have access rights to make ESRD Status Changes in CMS System	▪ Quality Review Process ▪ Enrollment Data Validation Services ▪ Enrollment Data Analysis and Trending for CMS Offices

RPC Operation – Transaction Process Flow

1. Receive submission package via the eRPT application;
2. Import transactions into the RPC System & match documents to the transactions;
3. If an import error occurs, an error report is posted to eRPT;
4. Transactions are routed to appropriate RPC functional area;
5. Transactions are reviewed by trained enrollment specialists in the order received;
6. If transaction is valid, MARx or MBD is updated to reflect the requested information;
7. An appropriate disposition code is assigned to complete transaction;
8. Completed transaction is exported to a Final Disposition Report (FDR);
9. FDRs are posted to eRPT & available next business day.

RPC Website: http://www.reedassociatescpas.com



The "CMS-RPC" tab on the Reed website contains valuable information and resources to facilitate the submission of transactions to the RPC.

RPC Website Resources

- **Retroactive Processing Services** -
  - **Standard Operating Procedures (SOPs)** specific to the type of retroactive transaction being submitted
  - **RPC Submission Toolkit** includes prepared forms to be filled out in the submission process
- **RPC Announcements and Memos** – information is posted when appropriate
- **CMS Guidelines** - CMS links related to the Medicare Managed Care Program are provided
- **RPC Client Services** – Address information and links to contact our Client Services Team for questions, etc.

RPC Toolkit on the RPC Website

- Submission Spreadsheet
- Documentation Worksheet
- Documentation Requirements Matrix
- Disposition Code Listing
- Point of Contact (POC) Forms
- Important HPMS Memos
- Other Tools & FAQs

Submitting Transactions: Where to Start

- Download the RPC Toolkit off our website
  - Submission Spreadsheet
  - Documentation Worksheet
  - Standard Operating Procedures (SOPs)
  - Documentation Requirements Matrix
- Review RPC SOPs and Submission Instructions
- Review eRPT User Manual
- Complete a cover letter
- Convert Submission Spreadsheet to “xls” or “xlsx” format
- Convert Supporting Documentation to PDF

Completing the Cover Letter

- Must accompany all retroactive transactions to the RPC.
- At a minimum it should contain:
  - The applicable plan number(s) (i.e., H#, S#, R#, E#, X#).
  - A certification statement which is signed by a member of the Organization.
  - An example of appropriate language for the certification is as follows:

"This signature verifies that the information submitted to the Retroactive Processing Contractor on <date> is accurate and complete. A copy of the supporting documentation is being maintained at the organization for each transaction."

Completing the RPC Submission Spreadsheet

- A workbook may contain multiple transaction types
  - However, please create separate workbooks for Payment Validation transactions from Enrollment-based transactions.

SCC | Medicaid | Med REM | ESRD | ESRD REM | LIS | Ret Disenrl | PBP | Ret Enrl | REINSTMT | Segment

- Complete all applicable fields
  - Segment numbers and End Dates are not mandatory.
- Use the formats indicated in the header row
  - The “Validation” button is available to ensure correct formatting.
  - Macros must be enables to utilize the validation function.

Validate Ret Enrl

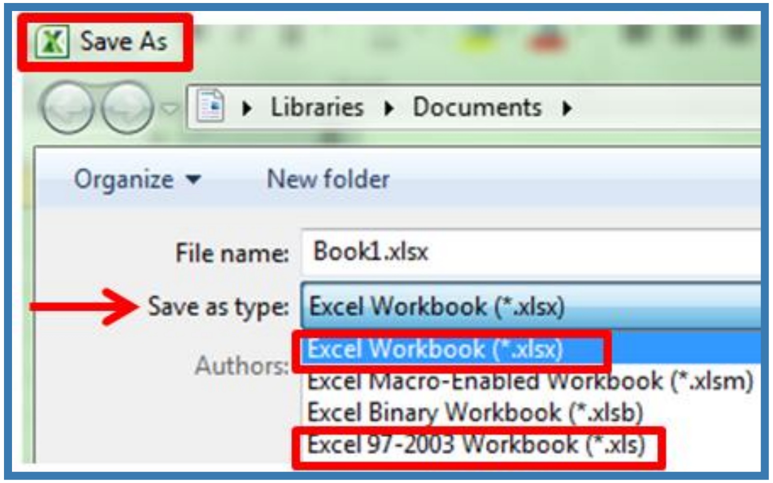
Enrollments

Contract Number	PBP	Segment	HIC	Last Name	First Name	Election Period	Effective Date	End Date	Application Receipt Date
One letter followed by 4 numbers	*Enter the three digit PBP number*	*Enter the three digit Segment number (if applicable)*	*Enter bene's HIC number. Combo of numbers & letters possible here*	*Beneficiary's Last Name*	*Beneficiary's First Name*	*Choose from list.* *Election Period must exactly match the format on the drop down list.*	*Date the requested Enrollment is to begin* ***(Must be 1st day of month)*** *mm/dd/yyyy*	*Defined as the end date of the period for which you are requesting.* *(Must be last day of the month; only completed if applicable)* *mm/dd/yyyy*	*Defined as the date the enrollment request is initially received by the organization.* *mm/dd/yyyy*

Converting the RPC Submission Spreadsheet

After completing the spreadsheet:

- Select “**File**”; then “**Save As**”.
- In the “**Save as type**” field on the “**Save As**” window select either:
    - Excel Workbook (*xlsx)
    - Excel 97-2003 Workbook (*xls)
- Enter the file name and select “**Save**”.



Completing the Documentation Worksheet

- Use the applicable worksheet for the transaction type.
- Data in the fields must match the spreadsheet.
- Provide additional information that would be beneficial to the processing of the retroactive transaction:
  - Explanation of the situation
  - Interpretation of the information on the document(s)

RPC Documentation Worksheet

This document is required for all retroactive Low Income Subsidy (LIS) status change transactions.

Date:		**Contract Number:**		**Plan Type:**	
Beneficiary Name:					
HIC Number:		**Effective Date:**			
Dual Eligible Status (Medicaid Status Level):	☐ Partial (also *SSI-only recipients & Full Duals with income > 100% FPL)* ☐ Full				
Institutional or Home and Community-Based Services (HCBS) Status Level:	☐ No ☐ Yes ☐ HCBS ☐ Unknown				
Reason for Request *(Please be as detailed as possible)*:					

Compiling the Supporting Documentation

- The completed RPC Documentation Worksheet is the first page.
- Remember to convert the image to PDF format.
- Use the following file naming convention:
  - [Contract number]-[HIC number]
  - *e.g. H1234-999887777A*
- You are now ready to create an eRPT Submission Package.

What is an Enrollment Data Validation (EDV) Review?

The EDV review process is a quality check of transactions submitted directly to CMS systems by MMP, MA, MAPD, MMP and PDP organizations to ensure:

- Plans are adhering to all CMS guidelines for all enrollment transactions
- Accuracy of the transactional data provided based on the supporting documentation and validation

Additional Information on the EDV Review Process

- Monthly documentation reviews on enrollment-related transactions submitted to MARx.
- Transactions submitted to MARx by either the batch process or the User Interface (UI).
- Includes the following “accepted” transactions:
  - Disenrollment (TC 51)
  - Enrollment (TC 61)
    - *Excluding State-submitted Passive Enrollment (Enrollment Source Code “J”)*
  - Residence Address Change (TC 76)
  - Cancellation of Enrollment (TC 80)
  - Cancellation of Disenrollment (TC 81)

EDV Process Flow

1. RPC receives daily TRR files from CMS;
2. A sample of transactions is created from the received TRR files;
3. Sample spreadsheet is posted to an eRPT Review Package;
4. Organization sends supporting documentation for transactions sampled to RPC;
5. RPC reviews documentation and transactional data;
6. Reports are created by the RPC with review results;
7. Reports are submitted to CMS Central Office;
8. Copies of the reports are forwarded to Regional Office Account Managers;
9. Regional Offices use reports for follow-up action, if necessary.

EDV Website Resources

Enrollment Data Validation Services –

- http://reedassociatescpas.com/pages/enrollment.asp
- EDV Review Schedule
- An SOP specific to the EDV review process.
- EDV Toolkit includes prepared forms to be filled out in the submission process.

Receiving an EDV Review Package

- A notification will be posted on the eRPT “Actions” screen.
- Access the EDV Sample Spreadsheet with the following file naming convention:
  - <Organization_name>-MMP_<POC>_<Transaction_Type>.xlsx
  - e.g. Superhero Healthcare-MMP_Captain America_E&D.xlsx
- Review the sampled transactional data and prepare the requested supporting documentation.

Completing the EDV Documentation Worksheet

- Use the applicable worksheet for the transaction type.
- Data in the fields must match the spreadsheet.
- Provide additional information that would beneficial to the processing of the retroactive transaction:
  - Explanation of the situation
  - Interpretation of the information on the document(s)

Enrollment Data Validation Review

Enrollment Transaction (TTC 61) Documentation Worksheet

NOTE: This transaction includes PBP Changes within a single contract

Transaction ID:		**HICN:**	
Beneficiary Name:			
POA or Legal Representative (if applicable):			
Contract Number:		**Effective Date:**	
Reason for Enrollment Transaction *(Please be as detailed as possible)*:			

Compiling the Supporting Documentation

- The completed EDV Documentation Worksheet is the first page.
- Remember to convert the image to PDF format.
- Use the Transaction ID provided on the sample spreadsheet as the file name:
  - The Transaction ID is the same number listed in the "System Assigned Transaction Tracking ID" field (position #70) on the Daily Transaction Reply Report (TRR)
  - *e.g. -1929381130*
- You are now ready to add response documents to an eRPT Review Package.

Overview of the eRPT Application

- The Electronic Retroactive Processing Transmission (eRPT) is a web-based application.
- It is designed to facilitate and manage electronic submission, workflow processing and storage of documentation associated with MAPD, MA only, COST, PACE, Private Fee-for-Service, MMP and Prescription Drug Plan (PDP) retroactive change requests.

Overview of the eRPT Application (Con't)

- It also includes creating inquiry requests based on the user access level.
- eRPT also provides the capability for a Plan User to respond to an Enrollment Data Validation review package submitted by either CMS or RPC.
- The approval process occurs entirely within the system.

Plan User Roles in eRPT

- Create Retroactive Submission Packages.
- Create Transaction Inquiry Request.
- Review response documents provided by the RPC.
  - For example : FDR, Error Report etc.
- Respond to Review (EDV) Packages.
- Receives and acts on Notifications.

Features of eRPT

- Internet facing user interface.
- User-friendly interface to create and view retroactive packages.
- Track package status easily via the user interface.
- Notifications within eRPT when there is any action taken by the RPC.
    - For example: If there are any documents/packages submitted by RPC for the Plans to review.

Benefits of eRPT

- Requests to Regional Office Account Managers and CMS Central Office Users for approval letters can be handled within eRPT.
- Package rejection notes can be viewed within eRPT.
- Retroactive submissions can be tracked within eRPT.
- All packages and responses can be tracked within the eRPT application by any user who has access to the package.

Access to the eRPT application

Plan Users with the following MARx roles mapped to their IACS user Id will have access to the eRPT application:

- EPOC
- MA Representative
- MCO Representative UI Update
- MMP User
- MA Submitter
- Net Representative
- Net Submitter

Demo

eRPT Support

- To ask any eRPT related questions, users can send an email to following email address:
  - eRPTinquiries@cms.hhs.gov
- To report any technical issues related to the eRPT application, the users will need to contact the MAPD Helpdesk:
  - 1-800-927-8069 or mapdhelp@cms.hhs.gov
- The updated eRPT User Manual is available at: http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/mapdhelpdesk/index.html

RPC Contact Information

Reed & Associates, CPAs

CMS – Retroactive Processing Contractor

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402-315-3700 (fax)

Website – www.reedassociatescpas.com

Email – clientservices@reedassociatescpas.com

eRPT – via a Transaction Inquiry (TIQ) Package

Resources

- MMP Enrollment/Disenrollment Guidance - http://www.cms.gov/Medicare-Medicaid-Coordination/Medicare-and-Medicaid-Coordination/Medicare-Medicaid-Coordination-Office/Downloads/MMPFinalEnrollGuidance.pdf
- RPC Toolkit & SOPs - http://www.reedassociatescpas.com/pages/cms.asp
- eRPT User Manual - https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/mapdhelpdesk/Downloads/electronic-Retroactive-Processing-Transmission-eRPT-User-Manual-v19.pdf

Questions ???