



**Technical Specifications**  
**July 2014 Public Use File (PUF) of**  
**Part C and D Reporting Requirements Data**

**Last revision:** July 2014

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## **I. Introduction**

### *Reporting Requirements*

With the implementation of the Medicare Drug Benefit Program in 2006, the Centers for Medicare and Medicaid Services (CMS) established Part D Reporting Requirements for all Part D sponsors in 2006. Shortly thereafter, CMS initiated new Part C Reporting Requirements in December 2008. Both sets of reporting requirements undergo Office of Management and Budget (OMB) approval of the “Information Collection Request” (ICR) under the Paperwork Reduction Act of 1995 (PRA). CMS has made efforts to refine or remove reporting sections each year.

Appendices A and B outline the Part C and Part D Reporting Requirements since CY2010.

### *Data Validation*

CMS uses plan reported data as sources of information for data analyses, compliance and monitoring actions, oversight, and display measures. Most recently, CMS is using the reported data to release annual summary data reports and public use files (PUFs). Additionally, CMS plans to use some of these data in CMS Star Ratings program. In order to support these uses, CMS implemented Data Validation (DV) requirements in 2011. DV has been imperative in ensuring that these data are audited for accuracy and consistency prior to relying on these data for expanded uses. Since the DV’s implementation in 2011, CMS has made policy decisions and revisions to improve DV guidance and standards/sub-standards to ensure reported data are accurate, reliable, and valid. It is important to note that reporting sections that are used for monitoring only are excluded from DV.

Appendix C outlines the Part C and Part D reporting sections included in DV since 2011.

## II. Public Use File (PUF)

Increasingly, there is encouragement to make providers and plans more accountable by making appropriate data relating to performance available to the public. In 2012, CMS developed three display measures using plan-reported and validated data. CMS anticipates introducing measures into the Star Ratings system using plan-reported data in the future. PUFs containing plan and provider data have been made available via the CMS website for some time. To increase accountability of the Medicare Program, the Office of the Inspector General (OIG) has recommended that CMS release PUFs containing plan reported data collected via the Part C and D Reporting Requirements. In order to implement the availability of PUFs to the general public, researchers and academic institutions, health care organizations, and government agencies, CMS has tasked a contractor to develop PUFs of plan-reported data that would be downloaded from the CMS website. This contractor is currently tasked with ensuring data integrity and producing Part C and Part D reports on the Medicare Advantage and Part D program.

### *Datasets*

Each contract year's PUF contains individual datasets for each reporting section, listing the raw data as reported by the contracts. Additionally, both validated and non-validated data will be included in the PUF. With a few exceptions, CMS will release all data elements collected within a reporting section. Beneficiary information, proprietary, confidential or otherwise sensitive data are not included. Technical specifications such as reporting frequency and schedule, inclusions/exclusions, and any other information that is important for accurate interpretation of the data elements are provided.

For reporting sections that undergo data validation, CMS only releases data for contracts receiving at least the minimal DV score to pass. Contracts which did not pass DV would be listed to indicate that "CMS identified issues with plan's data". More information about the data validation standards can be found at <http://www.cms.gov/Medicare/Prescription-Drug-Coverage/PrescriptionDrugCovContra/PartCDDDataValidation.html>.

### *Reporting Sections Included in the PUF*

The table below outlines the CY2012 Part C and D reporting sections that are included in the PUF and whether they were included in the 2013 DV cycle.

**Table 1: July 2014 PUF Reporting Sections**

<b>CY2012 Reporting Section</b>	<b>2013 DV Cycle</b>
Organization Determinations and Reconsiderations – Part C	✓
Special Needs Plan (SNP) Care Management (CY2011) – Part C	✓
Coverage Determinations/Exceptions – Part D	✓
Grievances – Part C	✓
Grievances – Part D	✓
Long-Term Care (LTC) Utilization – Part D	✓
Medication Therapy Management (MTM) Programs – Part D	✓
Redeterminations – Part D	✓
Enrollment and Disenrollment – Part C and Part D	

Data elements included in the PUF are listed below as they appear in the CY2012 Part C and D Reporting Requirements documents. The Reporting Requirements documents can be found at the below locations:

Part C reporting sections - <http://www.cms.gov/Medicare/Health-Plans/HealthPlansGenInfo/ReportingRequirements.html>

Part D reporting sections - [http://www.cms.gov/Medicare/Prescription-Drug-Coverage/PrescriptionDrugCovContra/RxContracting\\_ReportingOversight.html](http://www.cms.gov/Medicare/Prescription-Drug-Coverage/PrescriptionDrugCovContra/RxContracting_ReportingOversight.html)

**Organization Determinations and Reconsiderations – Part C**

Contract level

- 6.1 Number of organization determinations – Fully Favorable
- 6.2 Number of organization determinations – Partially Favorable
- 6.3 Number of organization determinations – Adverse
- 6.4 Number of reconsiderations – Fully Favorable
- 6.5 Number of reconsiderations – Partially Favorable
- 6.6 Number of reconsiderations – Adverse

**Special Needs Plans (SNPs) Care Management – Part C**

Plan level

- 13.1 Number of new enrollees
- 13.2 Number of enrollees eligible for an annual health risk reassessment (HRA)
- 13.3 Number of initial HRAs performed on new enrollees
- 13.4 Number of annual reassessments performed

### **Coverage Determinations and Exceptions – Part D**

Plan level

- A. The total number of pharmacy transactions
- B. Of the total reported in A, the number of pharmacy transactions rejected due to formulary restrictions, including non-formulary status, prior authorization (PA) requirements, step therapy, and quantity limits (QL).
- C. Total number of PAs made in the reporting period
- E. Number of approved PAs (PA requirements satisfied)
- F. Total number of utilization management (UM) exception decisions
- H. Number of favorable UM exception decisions
- I. Total number of tier exception decisions
- K. Number of favorable tier exception decisions
- L. Total number of formulary exception decisions
- N. Number of favorable formulary exception decisions

### **Grievances – Part C**

Plan level

- 5.1 Total number of grievances – Fraud
- 5.2 Total number of grievances – Enrollment/Disenrollment
- 5.3 Total number of grievances – Benefit package
- 5.4 Total number of grievances – Access
- 5.5 Total number of grievances – Marketing
- 5.6 Total number of grievances – Customer service
- 5.7 Total number of grievances – Privacy issues
- 5.8 Total number of grievances – Quality of care
- 5.9 Total number of grievances – Appeals
- 5.10 Total number of grievances – Other
- 5.11 Number of grievances in which timely notification was given – Enrollment/Disenrollment
- 5.12 Number of grievances in which timely notification was given – Benefit package
- 5.13 Number of grievances in which timely notification was given – Access
- 5.14 Number of grievances in which timely notification was given – Marketing
- 5.15 Number of grievances in which timely notification was given – Customer service
- 5.16 Number of grievances in which timely notification was given – Quality of care
- 5.17 Number of grievances in which timely notification was given – Appeals
- 5.18 Number of grievances in which timely notification was given – Other

### **Grievances – Part D**

Plan level

- A. Total number of grievances – Enrollment, plan benefits, or pharmacy access

- B. Number of grievances in which timely notification was given – Enrollment, plan benefits, or pharmacy access
- C. Total number of grievances – Customer service
- D. Number of grievances in which timely notification was given – Customer service
- E. Total number of grievances – Coverage determinations and Redeterminations process (e.g. untimely decisions)
- F. Number of grievances in which timely notification was given – Coverage determinations and Redeterminations process (e.g. untimely decisions)
- G. Total number of grievances – Other
- H. Number of grievances in which timely notification was given – Other

### **Long-Term Care (LTC) Utilization – Part D**

Contract level

- A. The total number of network LTC pharmacies in the service area
- B. The total number of network retail pharmacies in the service area
- C. The total number of beneficiaries in LTC facilities for whom Part D drugs have been provided under the Contract
- D. Aggregated for all network LTC pharmacies in the service area:
  - e. Number of 31-day equivalent formulary prescriptions dispensed
  - f. Number of 31-day equivalent non-formulary prescriptions dispensed
  - g. Cost of formulary prescriptions
  - h. Cost of non-formulary prescriptions
- E. Aggregated for all retail pharmacies in the service area:
  - a. Number of 30-day equivalent formulary prescriptions dispensed
  - b. Number of 30-day equivalent non-formulary prescriptions dispensed
  - c. Cost of formulary prescriptions
  - d. Cost of non-formulary prescriptions

### **Medication Therapy Management (MTM) Programs – Part D**

Contract level

- A. Contract Number
- F. Beneficiary date of birth (excluded; however, age band will be provided in lieu of Beneficiary date of birth – under 65, 66-74, 75-84, and 85 and above; age calculated as of the last day of the reporting period)
- G. LTC Enrollment
- H. Date of MTM program enrollment
- I. Date of MTM program opt-out, if applicable
- J. Reason participant opted-out of MTM program
- K. Offered annual comprehensive medication review
- L. If offered, date of (initial) offer
- M. Received annual comprehensive medication review (CMR)
- N. If received, date(s) of annual comprehensive medication review(s)
- O. Number of targeted medication reviews
- P. Number of prescriber interventions
- Q. Number of changes to drug therapy made as a result of MTM interventions

## **Redeterminations – Part D**

Plan level

- A. Total number of redeterminations
- C. Number of partially favorable redeterminations
- D. Number of fully favorable redeterminations

## **Enrollment and Disenrollment – Part C and Part D**

Contract level

Enrollment:

- A. The total number of enrollment requests received
- B. Of the total reported in A, the number of enrollment requests complete at the time of initial receipt (i.e. required no additional information from applicant or his/her authorized representative)
- C. Of the total reported in A, the number of enrollment requests that required requests for additional information
- D. Of the total reported in A, the number of enrollment requests denied due to the Sponsor's determination of the applicant's ineligibility to elect the plan (e.g. individual not having a valid enrollment period)
- E. Of the total reported in C, the number of incomplete enrollment requests received that are completed within established timeframes
- F. Of the total reported in C, the number of enrollment requests denied due to the applicant or his/her authorized representative not providing information to complete the enrollment request within established timeframes
- G. Of the total reported in A, the number of paper enrollment requests received
- H. Of the total reported in A, the number of telephonic enrollment requests received (if offered)
- I. Of the total reported in A, the number of internet enrollment requests received via plan website (if offered)
- J. Of the total reported in A, the number of Online Enrollment Center (OEC) enrollment requests received
- K. For stand-alone prescription drug plans (PDPs) only: Of the total reported in A, the number of enrollment requests effectuated by sales persons (as defined in Chapter 3 of the Medicare Managed Care Manual)
- L. Of the number reported in A, the number of enrollment transactions submitted using the SEP Election Period code "S" related to creditable coverage
- M. Of the number reported in A, the number of enrollment transactions submitted using the SEP Election Period code "S" related to SPAP
- N. For stand-alone prescription drug plans (PDPs) only: Of the number reported in A, the total number of enrollment transactions submitted using the SEP Election Period code "S" that coordinates with the Medicare Advantage Disenrollment Period
- O. Of the number reported in A, the number of enrollment transactions submitted using the SEP Election Period Code "S" for individuals affected by a contract nonrenewal, plan termination or service area reduction



Disenrollment:

- A. The total number of voluntary disenrollment requests received
- B. Of the total reported in A, the number of disenrollment requests complete at the time of initial receipt (i.e. required no additional information from enrollee or his/her authorized representative)
- C. Of the total reported in A, the number of disenrollment requests denied by the Sponsor for any reason

*Reporting Sections Excluded from the PUF*

- Data that are non-validated and are used for CMS monitoring only:
  - PFFS Plan Enrollment Verification Calls (Part C)
  - PFFS Provider Payment Dispute Resolution Process (Part C)
  - Serious Reportable Adverse Events (Part C)
  - Retail Pharmacy Access (Part D)
  - Home Infusion Pharmacy Access (Part D)
  - Long-Term Care Pharmacy Access (Part D)
  - Employer Group Plan Sponsors (Part C and Part D)
- Reporting sections that have been suspended by CMS:
  - Provider Network Adequacy (Part C)
  - Procedure Frequency (Part C)
  - Fraud, Waste, and Abuse Compliance Programs (Part D)
  - P&T/Provision of Part D Functions (Part D)
  - Pharmacy Support of Electronic Prescribing (Part D)
  - Prompt Payment by Part D Sponsors (Part D)
  - Plan Oversight of Agents (Part C and Part D)

### III. CMS Disclaimer – User Agreement for Public Use Data

The Centers for Medicare & Medicaid Services (CMS) is responsible for administering the Medicare Parts C and D Programs. Our agency resources, including staff and computing resources, are primarily dedicated to agency operations. The agency is committed to providing program information and data to the public to the fullest extent possible. This disclaimer details the restrictions on CMS services in supporting data requests so that requestors can plan their projects accordingly. It also outlines the responsibility of CMS and the data user in regard to the delivery, processing, and understanding of the data files.

- Timeframes for data delivery: CMS expects to post plan-reported data on an annual basis, following the data validation process and other CMS reviews. CMS cannot guarantee the release of these data to meet any timeframe.
- Data validation: CMS is providing plan-reported data available to the public; most of these data have undergone the data validation process and are used by CMS for operational purposes. CMS requires that organizations contracted to offer Medicare Part C and/or Part D benefits be subject to an independent yearly review to validate data reported to CMS per the *Medicare Part C and Part D Reporting Requirements and Technical Specifications (Technical Specifications)*.<sup>1</sup> The purpose of the independent data validation (DV) is to ensure that Part C and Part D Sponsors are reporting health and drug plan data that are reliable, valid, complete, comparable, and timely.
- Data accuracy: CMS does not ensure 100% accuracy of all records and all fields. Some data fields that are not used for core agency functions may contain incorrect and/or incomplete data. Data contained in the public use file are necessarily limited to data that was reported to CMS in any given year. Data reporting requirements and technical specifications may change from year to year. Therefore, users must familiarize themselves with any modifications to the reporting requirements or technical specifications when considering these data across plan years.
- Data integrity: It is the responsibility of each user to identify the information needed to satisfy the need for the data contained in the public use file. Any alteration of the original data, including conversion to other media or other data formats, is the responsibility of the user. Data that has been manipulated or reprocessed by the user is the responsibility of the user. The user may not present data that has been altered in any way as CMS data. CMS has no responsibility for the data file after it has been converted, processed or otherwise altered. CMS has no responsibility for assisting users with converting the data to another format.

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<sup>1</sup> See 42 CFR §422.516(g) and §423.514(g)

- Privacy protection: CMS is obligated by the federal Privacy Act, 5 U.S.C. Section. 552a and the HIPAA Privacy Rule, 45 C.F.R Parts 160 and 164, to protect the privacy of individual beneficiaries and other persons. Public files consist of aggregated data that do not permit direct identification of individuals. Attempting to determine individual identities from public data is a violation of the federal Privacy Act, 5 U.S.C and the HIPAA Privacy Rule.

#### **IV. Technical Assistance**

Questions about the PUFs should be sent to the below mailboxes:

Part C reporting sections - [Partcplanreporting@cms.hhs.gov](mailto:Partcplanreporting@cms.hhs.gov)

Part D reporting sections - [partd-planreporting@cms.hhs.gov](mailto:partd-planreporting@cms.hhs.gov)

## **V. PUF Specifications by Reporting Section**

The following subsections provide specifications of each individual dataset of the PUF including, for each reporting section:

- Reporting section details, such as the year of data included and level and frequency at which the data are reported by sponsors
- PUF dataset details, such as any minimum size and/or data validation criteria applied to exclude or suppress data from the PUF
- File layout, including variable names and definitions

All datasets are provided as tab delimited files in .txt format.

## **Organization Determinations and Reconsiderations – Part C**

### **Reporting Section Details**

*Year:* CY2012

*Level:* Contract

*Frequency:* 4/Year

### **PUF Details**

*File Level:* Unique at CONTRACT\_ID-YEAR-QUARTER level.

*Exclusion Criteria:* Contracts that were not required to submit Organization Determinations and Reconsiderations data for all four reporting periods of the year or that did not undergo DV are excluded. Additionally, contracts with an average monthly enrollment of less than 11 over the full reporting year (January 2012-December 2012) according to the Health Plan Management System (HPMS) are excluded.

*Data Validation:* Contracts scoring less than 95% in DV for their reporting of the Organization Determinations and Reconsiderations section will be included but will have all variables other than CONTRACT\_ID, CONTRACT\_NAME, YEAR, and QUARTER listed as X. This X indicates that CMS found issues with the contract's data. Contracts that scored 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will be included and will have only the specific data element(s) for which they were non-compliant listed as X. Data elements which were compliant with DV standards/sub-standards will be included as reported by the contract.

### **File Layout**

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
YEAR	Reporting year (e.g., 2012)
QUARTER	Reporting quarter (e.g., Q1)
DET_FULLY_FAVORABLE	Number of fully favorable organization determinations (Element 6.1)
DET_PARTIALLY_FAVORABLE	Number of partially favorable organization determinations (Element 6.2)

Variable Name	Definition
DET_ADVERSE	Number of adverse organization determinations (Element 6.3)
RECON_FULLY_FAVORABLE	Number of fully favorable reconsiderations (Element 6.4)
RECON_PARTIALLY_FAVORABLE	Number of partially favorable reconsiderations (Element 6.5)
RECON_ADVERSE	Number of adverse reconsiderations (Element 6.6)

## **Special Needs Plans (SNPs) Care Management – Part C**

### **Reporting Section Details**

*Year:* CY2011

*Level:* Plan

*Frequency:* 1/Year

### **PUF Details**

*File Level:* Unique at CONTRACT\_ID-PLAN\_ID-YEAR level.

*Exclusion Criteria:* Plans that were not required to submit SNP Care Management data or that did not undergo DV are excluded. Additionally, plans whose sum of new enrollees (Element 13.1) and enrollees eligible for an annual reassessment (Element 13.2) is less than 11 are excluded.

*Data Validation:* Plans scoring less than 95% in DV for their reporting of the SNP Care Management section will be included but will have all variables other than CONTRACT\_ID, CONTRACT\_NAME, PLAN\_ID, and YEAR listed as X. This X indicates that CMS found issues with the plan's data. Plans that scored 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will be included and will have only the specific data element(s) for which they were non-compliant listed as X. Data elements which were compliant with DV standards/sub-standards will be included as reported by the plan. Note: There may be a number of reasons for less than 100% completion of the HRA, including refusals on the part of beneficiaries despite proactive efforts by plans

### **File Layout**

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Contract name associated with Contract ID
PLAN_ID	Plan ID
YEAR	Reporting year (e.g., 2012)
NEW_ENROLLEES	Number of new enrollees (Element 13.1)
ELIGIBLE_ENROLLEES	Number of enrollees eligible for an annual reassessment (Element 13.2)
INITIAL_ASSESSMENTS	Number of initial assessments performed on new enrollees during reporting period (Element 13.3)
ANNUAL_REASSESSMENTS	Number of annual reassessments performed on enrollees eligible for a reassessment (Element 13.4)

## Coverage Determinations and Exceptions – Part D

### Reporting Section Details

*Year:* CY2012  
*Level:* Plan  
*Frequency:* 4/Year

### PUF Details

*File Level:* Unique at CONTRACT\_ID-PLAN\_ID-YEAR-QUARTER level.

*Exclusion Criteria:* Plans that were not required to submit Coverage Determinations and Exceptions data for all four reporting periods of the year or that did not undergo DV are excluded. Additionally, plans with an average monthly enrollment of less than 11 over the full reporting year (January 2012-December 2012) according to HPMS are excluded.

*Data Validation:* Plans scoring less than 95% in DV for their reporting of the Coverage Determinations and Exceptions section will be included but will have all variables other than CONTRACT\_ID, CONTRACT\_NAME, PLAN\_ID, YEAR, and QUARTER listed as X. This X indicates that CMS found issues with the plan's data. Plans that scored 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will be included and will have only the specific data element(s) for which they were non-compliant listed as X. Data elements which were compliant with DV standards/sub-standards will be included as reported by the plan.

### File Layout

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
PLAN_ID	Plan ID
YEAR	Reporting year (e.g., 2012)
QUARTER	Reporting quarter (e.g., Q1)
PHARM_TRANS	Number of pharmacy transactions (Element A)
PHARM_TRANS_REJECTED	Number of pharmacy transactions rejected due to formulary restrictions, including non-formulary status, PA requirements, step therapy, and quantity limits (Element B)
PA_TOTAL	Total number of prior authorizations made in the reporting period (Element C)



Variable Name	Definition
PA_APPROVED	Number of approved prior authorizations (Element E)
UM_TOTAL	Total number of utilization management exception decisions made in the reporting period (Element F)
UM_FAVORABLE	Number of favorable utilization management exception decisions (Element H)
TIER_TOTAL	Total number of tier exception decisions made in the reporting period (Element I)
TIER_FAVORABLE	Number of favorable tier exception decisions (Element K)
FORMULARY_TOTAL	Total number of formulary exception decisions made in the reporting period (Element L)
FORMULARY_FAVORABLE	Number of favorable formulary exception decisions (Element N)

## **Grievances – Part C**

### **Reporting Section Details**

*Year:* CY2012

*Level:* Plan

*Frequency:* 4/Year

### **PUF Details**

*File Level:* Unique at CONTRACT\_ID-PLAN\_ID-YEAR-QUARTER level.

*Exclusion Criteria:* Plans that were not required to submit Grievances data for all four reporting periods of the year or that did not undergo DV are excluded. Additionally, plans with an average monthly enrollment of less than 11 over the full reporting year (January 2012-December 2012) according to HPMS are excluded.

*Data Validation:* Plans scoring less than 95% in DV for their reporting of the Grievances section will be included but will have all variables other than CONTRACT\_ID, CONTRACT\_NAME, PLAN\_ID, YEAR, and QUARTER listed as X. This X indicates that CMS found issues with the plan's data. Plans that scored 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will be included and will have only the specific data element(s) for which they were non-compliant listed as X. Data elements which were compliant with DV standards/sub-standards will be included as reported by the plan.

### **File Layout**

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
PLAN_ID	Plan ID
YEAR	Reporting year (e.g., 2012)
QUARTER	Reporting quarter (e.g., Q1)
TOTAL_FRAUD	Total number of fraud grievances (Element 5.1)
TOTAL_ENROLLMENT	Total number of enrollment/disenrollment grievances (Element 5.2)
TIMELY_ENROLLMENT	Number of enrollment/disenrollment grievances in which the sponsor provided timely notification of its decision (Element 5.11)
TOTAL_BENEFIT	Total number of benefit package grievances (Element 5.3)

Variable Name	Definition
TIMELY_BENEFIT	Number of benefit package grievances in which the sponsor provided timely notification of its decision (Element 5.12)
TOTAL_ACCESS	Total number of access grievances (Element 5.4)
TIMELY_ACCESS	Number of access grievances in which the sponsor provided timely notification of its decision (Element 5.13)
TOTAL_MARKETING	Total number of marketing grievances (Element 5.5)
TIMELY_MARKETING	Number of marketing grievances in which the sponsor provided timely notification of its decision (Element 5.14)
TOTAL_CUSTSERV	Total number of customer service grievances (Element 5.6)
TIMELY_CUSTSERV	Number of customer service grievances in which the sponsor provided timely notification of its decision (Element 5.15)
TOTAL_PRIVACY	Total number of privacy issue grievances (Element 5.7)
TOTAL_QUALITY	Total number of quality of care grievances (Element 5.8)
TIMELY_QUALITY	Number of quality of care grievances in which the sponsor provided timely notification of its decision (Element 5.16)
TOTAL_APPEALS	Total number of appeals grievances (Element 5.9)
TIMELY_APPEALS	Number of appeals grievances in which the sponsor provided timely notification of its decision (Element 5.17)
TOTAL_OTHER	Total number of other grievances (Element 5.8)
TIMELY_OTHER	Number of other grievances in which the sponsor provided timely notification of its decision (Element 5.18)

## **Grievances – Part D**

### **Reporting Section Details**

*Year:* CY2012

*Level:* Plan

*Frequency:* 4/Year

### **PUF Details**

*File Level:* Unique at CONTRACT\_ID-PLAN\_ID-YEAR-QUARTER level.

*Exclusion Criteria:* Plans that were not required to submit Grievances data for all four reporting periods of the year or that did not undergo DV are excluded. Additionally, plans with an average monthly enrollment of less than 11 over the full reporting year (January 2012-December 2012) according to HPMS are excluded.

*Data Validation:* Plans scoring less than 95% in DV for their reporting of the Grievances section will be included but will have all variables other than CONTRACT\_ID, CONTRACT\_NAME, PLAN\_ID, YEAR, and QUARTER listed as X. This X indicates that CMS found issues with the plan's data. Plans that scored 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will be included and will have only the specific data element(s) for which they were non-compliant listed as X. Data elements which were compliant with DV standards/sub-standards will be included as reported by the plan.

### **File Layout**

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
PLAN_ID	Plan ID
YEAR	Reporting year (e.g., 2012)
QUARTER	Reporting quarter (e.g., Q1)
ENROLL_TOTAL	Total number of enrollment, plan benefits, or pharmacy access grievances (Element A)
ENROLL_TIMELY	Number of enrollment, plan benefits, or pharmacy access grievances in which timely notification was given (Element B)
CUSTSERV_TOTAL	Total number of customer service grievances (Element C)
CUSTSERV_TIMELY	Number of customer service grievances in which timely notification was given (Element D)

Variable Name	Definition
COVDET_TOTAL	Total number of coverage determinations and redeterminations process grievances (Element E)
COVDET_TIMELY	Number of coverage determinations and redeterminations process grievances in which timely notification was given (Element F)
OTHER_TOTAL	Total number of other grievances (Element G)
OTHER_TIMELY	Number of other grievances in which timely notification was given (Element H)

## **Long-Term Care (LTC) Utilization – Part D**

### **Reporting Section Details**

*Year:* CY2012  
*Level:* Contract  
*Frequency:* 2/Year

### **PUF Details**

*File Level:* Unique at CONTRACT\_ID-YEAR-PERIOD level.

*Exclusion Criteria:* Contracts that were not required to submit LTC Utilization data for both periods of the reporting year or that did not undergo DV are excluded. Additionally, contracts whose number of reported beneficiaries in LTC facilities for whom Part D drugs have been provided (Element C) in a reporting period is less than 11 will have that period excluded.

*Data Validation:* Contracts scoring less than 95% in DV for their reporting of the LTC Utilization section will be included but will have all variables other than CONTRACT\_ID, CONTRACT\_NAME, YEAR, and PERIOD listed as X. This X indicates that CMS found issues with the contract's data. Contracts that scored 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will be included and will have only the specific data element(s) for which they were non-compliant listed as X. Data elements which were compliant with DV standards/sub-standards will be included as reported by the contract.

### **File Layout**

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
YEAR	Reporting year (e.g., 2012)
PERIOD	Reporting period (e.g., P1)
NETWORK_LTC	Number of network LTC pharmacies (Element A)
NETWORK_RETAIL	Number of network retail pharmacies (Element B)
LTC_BENES	Number of beneficiaries in LTC facilities for whom Part D drugs have been provided (Element C)
LTC_FORMULARY_RX	Number of 31-day equivalent formulary prescriptions dispensed for all reported network LTC pharmacies (Element D.e)

Variable Name	Definition
LTC_NONFORMULARY_RX	Number of 31-day equivalent non-formulary prescriptions dispensed for all reported network LTC pharmacies (Element D.f)
LTC_FORMULARY_COST	Cost of formulary prescriptions for all reported network LTC pharmacies (Element D.g)
LTC_NONFORMULARY_COST	Cost of non-formulary prescriptions for all reported network LTC pharmacies (Element D.h)
RETAIL_FORMULARY_RX	Number of 30-day equivalent formulary prescriptions dispensed for all retail pharmacies in the service area (Element E.a)
RETAIL_NONFORMULARY_RX	Number of 30-day equivalent non-formulary prescriptions dispensed for all retail pharmacies in the service area (Element E.b)
RETAIL_FORMULARY_COST	Cost of formulary prescriptions for all retail pharmacies in the service area (Element E.c)
RETAIL_NONFORMULARY_COST	Cost of non-formulary prescriptions for all retail pharmacies in the service area (Element E.d)

## **Medication Therapy Management (MTM) Programs – Part D**

### **Reporting Section Details**

*Year:* CY2012  
*Level:* Contract  
*Frequency:* 1/Year

### **PUF Details**

*File Level:* Unique at FILE\_REC\_NUM level

*Exclusion Criteria:* Contracts that were not required to submit Medication Therapy Management data or that did not undergo data validation (DV) are excluded.

*Data Validation:* Contracts scoring less than 95% in DV for their reporting of the Medication Therapy Management section are listed a single time in the PUF with all variables other than FILE\_REC\_NUM, CONTRACT\_ID, CONTRACT\_NAME, YEAR, and CONTRACT\_REC\_NUM listed as *F*. This *F* indicates that CMS found issues with the contract's data.

Contracts scoring 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will have only the specific data element(s) for which they were non-compliant listed as *X*. This *X* indicates that CMS found issues with the contract's data. Data elements which were compliant with DV standards/sub-standards will be included as reported by the contract.

*Minimum Size:* Contracts reporting fewer than 11 total records in their MTM data are listed a single time in the PUF with all variables other than FILE\_REC\_NUM, CONTRACT\_ID, CONTRACT\_NAME, YEAR, and CONTRACT\_REC\_NUM listed as *S*. This *S* indicates the contract's data are suppressed from the PUF.

Contracts reporting more than 11 total records in their MTM data but fewer than 11 records in a single AGE\_BRACKET will have that specific AGE\_BRACKET listed a single time in the PUF with all variables other than FILE\_REC\_NUM, CONTRACT\_ID, CONTRACT\_NAME, YEAR, CONTRACT\_REC\_NUM, and AGE\_BRACKET listed as *S*. This *S* indicates the contract's data are suppressed from the PUF.



## File Layout

Variable Name	Definition
FILE_REC_NUM	Incremental count of number of records across all Contract IDs in PUF
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
YEAR	Reporting year (e.g., 2012)
CONTRACT_REC_NUM	Incremental count of number of records within Contract ID in PUF
AGE_BRACKET	Beneficiary age, categorized into an age bracket, as of December 31, 2012 according to date of birth reported by contract in Element F  A: Under 65 B: 65-74 C: 75-84 D: 85+ F: Issues with section-level DV S: Data suppressed due to minimum size criteria X: Issues with element-level DV
LTC_ENROLLMENT	Indicates if beneficiary was a long-term care resident for the entire time they were enrolled in MTM during the reporting period (Element G)  Y: Yes N: No U: Unknown F: Issues with section-level DV S: Data suppressed due to minimum size criteria X: Issues with element-level DV
ENROLLMENT_DATE	Date of MTM program enrollment (Element H). CCYYMMDD format.
OPT_OUT_DATE	Date of MTM program opt out, if applicable (Element I). CCYYMMDD format. N if beneficiary did not opt out. 99999999 if opt-out reason is death.

Variable Name	Definition
OPT_OUT_REASON	Reason participant opted out of MTM program, if applicable (Element J). Listed as 'NA' if beneficiary did not opt out.  01: Death 02: Disenrollment from plan 03: Request by beneficiary 04: Other NA: Beneficiary did not opt out F: Issues with section-level DV S: Data suppressed due to minimum size criteria X: Issues with element-level DV
CMR_OFFERED	Indicates if beneficiary was offered a comprehensive medication review (Element K)  Y: Yes N: No F: Issues with section-level DV S: Data suppressed due to minimum size criteria X: Issues with element-level DV
CMR_OFFER_DATE	If beneficiary was offered a comprehensive medication review, date of (initial) offer (Element L). CCYYMMDD format. N if beneficiary was not offered a CMR.
CMR_RECEIVED	Indicates if beneficiary received a comprehensive medication review (Element M)  Y: Yes N: No F: Issues with section-level DV S: Data suppressed due to minimum size criteria X: Issues with element-level DV
FIRST_CMR_DATE	If beneficiary received a comprehensive medication review, first date of annual comprehensive medication review (Element N). CCYYMMDD format. N if beneficiary did not receive a comprehensive medication review.
SECOND_CMR_DATE	If beneficiary received a comprehensive medication review, second date of annual comprehensive medication review (Element N). CCYYMMDD format. N if beneficiary did not receive a second comprehensive medication review.

Variable Name	Definition
THIRD_CMV_DATE	If beneficiary received a comprehensive medication review, third date of annual comprehensive medication review (Element N). CCYYMMDD format. N if beneficiary did not receive a third comprehensive medication review.
TMR	Number of targeted medication reviews (Element O)
PRES_INTERVENTIONS	Number of prescriber interventions (Element P)
THERAPY_CHANGES	Number of changes to drug therapy as a result of MTM interventions (Element Q)

## **Redeterminations – Part D**

### **Reporting Section/Measure Details**

*Year:* CY2012

*Level:* Plan

*Frequency:* 4/Year

### **PUF Details**

*File Level:* Unique at CONTRACT\_ID-PLAN\_ID-YEAR-QUARTER level.

*Exclusion Criteria:* Plans that were not required to submit Redeterminations data for all four reporting periods of the year or that did not undergo DV are excluded. Additionally, plans with an average monthly enrollment of less than 11 over the full reporting year (January 2012-December 2012) according to HPMS are excluded.

*Data Validation:* Plans scoring less than 95% in DV for their reporting of the Redeterminations section will be included but will have all variables other than CONTRACT\_ID, CONTRACT\_NAME, PLAN\_ID, YEAR, and QUARTER listed as X. This X indicates that CMS found issues with the plan's data. Plans that scored 95% or higher in DV for this section but that were not compliant with DV standards/sub-standards for at least one data element will be included and will have only the specific data element(s) for which they were non-compliant listed as X. Data elements which were compliant with DV standards/sub-standards will be included as reported by the plan.

### **File Layout**

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
PLAN_ID	Plan ID
YEAR	Reporting year (e.g., 2012)
QUARTER	Reporting quarter (e.g., Q1)
TOTAL	Total number of redeterminations made in the reporting period (Element A)
PARTIALLY_FAVORABLE	Number of partially favorable redeterminations (Element C)
FULLY_FAVORABLE	Number of fully favorable redeterminations (Element D)

## **Enrollment and Disenrollment – Part C and Part D**

### **Reporting Section/Measure Details**

*Year:* CY2012  
*Level:* Contract  
*Frequency:* 4/Year

### **PUF Details**

*File Level:* Unique at CONTRACT\_ID-YEAR-QUARTER level.

*Exclusion Criteria:* Contracts that were not required to submit Enrollment and Disenrollment data for all four periods of the reporting year are excluded. Required submissions that were missing are listed with missing values ('.'). Additionally, contracts with an average monthly enrollment of less than 11 over the full reporting year (January 2012-December 2012) according to HPMS are excluded.

*Data Validation:* The CY 2012 Enrollment and Disenrollment data did not undergo DV.

### **File Layout**

Variable Name	Definition
CONTRACT_ID	Contract ID
CONTRACT_NAME	Name associated with Contract ID
YEAR	Reporting year (e.g., 2012)
QUARTER	Reporting quarter (e.g., Q1)
E_TOTAL_REQUESTS	Total number of enrollment requests received (Enrollment Element A)
E_INITIAL_COMPLETE	Total number of enrollment requests complete at the time of initial receipt (Enrollment Element B)
E_INITIAL_INCOMPLETE	Total number of enrollment requests that required requests for additional information (Enrollment Element C)
E_DENIED_INELIGIBLE	Total number of enrollment requests denied due to the sponsor's determination of the applicant's ineligibility to elect the plan (Enrollment Element D)
E_INCOMPLETE_TIMELY	Number of incomplete enrollment requests received that are completed within established timeframes (Enrollment Element E)

Variable Name	Definition
E_DENIED_INCOMPLETE	Number of enrollment requests denied due to the applicant or his/her authorized representative not providing information to complete the enrollment request within established timeframes (Enrollment Element F)
E_REQUESTS_PAPER	Number of paper enrollment requests received (Enrollment Element G)
E_REQUESTS_PHONE	Number of telephonic enrollment requests received (Enrollment Element H)
E_REQUESTS_PLAN_WEB	Number of internet enrollment requests received via plan website (Enrollment Element I)
E_REQUESTS_OEC	Number of Online Enrollment Center (OEC) enrollment requests received (Enrollment Element J)
E_REQUESTS_SALES	Number of enrollment requests effectuated by sales persons (Enrollment Element K).
E_SEP_CREDITABLE	Number of enrollment transactions submitted using the SEP Election Period code "S" related to creditable coverage (Enrollment Element L)
E_SEP_SPAP	Number of enrollment transactions submitted using the SEP Election Period code "S" related to SPAP (Enrollment Element M)
E_SEP_MA_DISENROLLMT	Number of enrollment transactions submitted using the SEP Election Period code "S" that coordinates with the Medicare Advantage Disenrollment Period (Enrollment Element N)
E_SEP_NONRENEWALS	Number of enrollment transactions submitted using the SEP Election Period code "S" for individuals affected by a contract nonrenewal, plan termination or service area reduction (Enrollment Element O)
D_TOTAL_REQUESTS	Total number of voluntary disenrollment requests received in the specified time period (Disenrollment Element A)
D_INITIAL_COMPLETE	Total number of disenrollment requests complete at the time of initial receipt (Disenrollment Element B)
D_DENIED_ANY	Total number of disenrollment requests denied by the sponsor for any reason (Disenrollment Element C)

## VI. Appendix A: Part C Reporting Requirements Summary

Reporting Section	CY2010	CY2011	CY2012	CY2013	CY2014
Enrollment and Disenrollment			✓	✓	✓
Grievances	✓	✓	✓	✓	✓
Employer Group Plan Sponsors	✓	✓	✓	✓	✓
Plan Oversight of Agents <sup>2</sup>	✓	✓	✓		✓
Organization Determinations and Reconsiderations	✓	✓	✓	✓	✓
Special Needs Plans (SNPs) Care Management	✓	✓	✓	✓	✓
Serious Reportable Adverse Events	✓	✓	✓	✓	
Provider Network Adequacy	✓	✓	✓		
Benefit Utilization	✓				
Procedure Frequency	✓	✓	✓		
PFFS Plan Enrollment Verification Calls	✓	✓	✓	✓	✓

<sup>2</sup> The Plan Oversight of Agents reporting section was suspended in CY2013; however, a revised data collection was introduced in CY2014.

## VII. Appendix B: Part D Reporting Requirements Summary

Reporting Section	CY2010	CY2011	CY2012	CY2013	CY2014
Enrollment and Disenrollment <sup>3</sup>	✓	✓	✓	✓	✓
Retail, HI, LTC Pharmacy Access	✓	✓	✓	✓	✓
Access to Extended Day Supplies at Retail Pharmacies	✓	✓	✓		
Medication Therapy Management (MTM) Programs	✓	✓	✓	✓	✓
Prompt Payment by Part D Sponsors	✓	✓	✓	✓	
Pharmacy Support for Electronic Prescribing	✓	✓	✓		
Grievances	✓	✓	✓	✓	✓
P&T Committees/Provision of Part D Functions <sup>4</sup>	✓	✓	✓		
Coverage Determinations/Exceptions	✓	✓	✓	✓	
Appeals/Redeterminations <sup>5</sup>	✓	✓	✓	✓	
Coverage Determinations and Redeterminations <sup>6</sup>					✓
Pharmaceutical Manufacturer Rebates, Discounts, and Other Price Concessions	✓				
Long-Term Care (LTC) Utilization	✓	✓	✓	✓	✓
Licensure and Solvency, Business Transactions and Financial Requirements <sup>7</sup>	✓				
Fraud, Waste and Abuse Compliance Programs	✓	✓	✓	✓	
Employer/Union-Sponsored Group Health Plan Sponsors	✓	✓	✓	✓	✓
Plan Oversight of Agents <sup>8</sup>	✓	✓	✓		✓

<sup>3</sup> The Enrollment reporting section was renamed Enrollment and Disenrollment in CY2012.

<sup>4</sup> The P&T Committee/Provision of Part D Functions reporting section was suspended in CY2013.

<sup>5</sup> The Appeals reporting section was renamed Redeterminations in CY2012.

<sup>6</sup> The Coverage Determinations/Exceptions and Redeterminations sections were combined into a single section for CY2014.

<sup>7</sup> Effective March 2009, the Licensure and Solvency, Business Transactions and Financial Requirements data were submitted into the HPMS Fiscal Soundness Module.

<sup>8</sup> The Plan Oversight of Agents reporting section was suspended in CY2013; however, a revised data collection was introduced in CY2014.



## VIII. Appendix C: Part C and Part D Data Validation Summary

Reporting Section	DV2011	DV2012	DV2013	DV2014	DV2015
Procedure Frequency <sup>9</sup>		CY2010			
Serious Reportable Adverse Events (SRAEs) <sup>10</sup>		CY2010	CY2011	CY2012, CY2013	
Provider Network Adequacy <sup>11</sup>	CY2010	CY2011			
Organization Determinations/Reconsiderations	CY2010	CY2011	CY2012	CY2013	CY2014
Special Needs Plans (SNPs) Care Management		CY2010	CY2011	CY2012, CY2013	CY2014
Retail, HI, LTC Pharmacy Access <sup>12</sup>	CY2010	CY2011			
Medication Therapy Management (MTM) Programs	CY2010	CY2011	CY2012	CY2013	CY2014
Grievances - Part C	CY2010	CY2011	CY2012	CY2013	CY2014
Grievances - Part D	CY2010	CY2011	CY2012	CY2013	CY2014
Coverage Determinations and Exceptions	CY2010	CY2011	CY2012	CY2013	CY2014
Appeals/Redeterminations <sup>13</sup>	CY2010	CY2011	CY2012	CY2013	CY2014
Long-Term Care (LTC) Utilization		CY2010	CY2011, CY2012	CY2013	CY2014
Employer Group Plan Sponsors (Part C and Part D) <sup>14</sup>	CY2010	CY2011			
Plan Oversight of Agents (Part C and Part D) <sup>15</sup>	CY2010	CY2011	CY2012		CY2014

<sup>9</sup> The Procedure Frequency reporting section was collected for monitoring purposes only for CY2011 and CY 2012 and suspended for CY2013.

<sup>10</sup> The SRAEs reporting section was suspended for CY2014.

<sup>11</sup> The Provider Network Adequacy reporting section was collected for monitoring purposes only for CY2012 and suspended for CY2013.

<sup>12</sup> The Retail, Home Infusion, and LTC Pharmacy Access reporting section is collected for monitoring purposes only starting for CY2012.

<sup>13</sup> The Appeals reporting section was renamed Redeterminations in CY2012.

<sup>14</sup> The Employer Group Plan Sponsors reporting section is collected for monitoring purposes only starting for CY2012.

<sup>15</sup> The Plan Oversight of Agents reporting section was suspended from data validation for CY2013; but was reintroduced for CY2014.