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MEMORANDUM

**Date:** January 31, 2011

**To:** All Part D Plan Sponsors Except PACE Plans

**From:** Cynthia G. Tudor, Ph.D.  
Director, Medicare Drug Benefit and C & D Data Group

**Subject:** Timely Submission of 4Rx Data for CMS Generated Enrollments through User Interface

This memorandum is a follow-up to the April 9, 2009 memo entitled “**Report on Timely Submission of 4Rx Related Change Transactions**,” which specified that Part D sponsors are responsible for submitting a valid plan change transaction type 72 for updating 4Rx data within 72 hours after receiving the transaction reply reports (TRR) for CMS-generated enrollments (Medicare Advantage and Prescription Drug Plan Communication User Guide (PCUG), Version 5.3, 11/17/2010). This memo provides clarification about when 4Rx data submission is required for the CMS-generated enrollment actions processed through the User Interface (UI) on or after January 1, 2011.

As described in the PCUG, the Transaction Reply Codes (TRCs) associated with the UI enrollment actions range from 700 to 713. Within this range are the TRCs associated with new enrollments (701, 702, 705, and 707), disenrollments (703, 704, and 706), and changes to existing enrollment periods, such as a revised start date and/or end date (708 through 713). Sponsors must submit 4Rx data for any TRC associated with a new enrollment. 4Rx data is *not* required for disenrollment transactions as they report the end of a coverage period.

If the UI action changed an existing enrollment period, the submission of 4Rx data is *optional*. That is, if there is a change in the 4Rx information associated with the change in the enrollment period, Part D sponsors need to submit a new 4Rx record timely and successfully. For example, the existing enrollment period terminated December 2010; the sponsor changed its pharmacy benefit manager (PBM) on January 1, 2011. The enrollment change removed the prior enrollment termination date. In this instance, the sponsor would be required to submit new 4Rx data because the existing 4Rx data would be inaccurate.

The below table provides summary information on 4Rx data submission for CMS generated enrollments through UI.

TRC Code	4Rx Data Submission
701	Yes
702	Yes
703	No
704	No
705	Yes
706	No
707	Yes
708	Optional*
709	Optional*
710	Optional*
711	Optional*
712	Optional*
713	Optional*

\*4Rx data submission is only required if there is a change in the 4Rx information associated with the change in the enrollment period.

Thank you for your continued work to provide accurate and timely information to CMS. Please direct any inquires related to this memo via e-mail to Nancy Zhang at [nancy.zhang@cms.hhs.gov](mailto:nancy.zhang@cms.hhs.gov) and include “4Rx” in the subject line.