



**Final CMS-Plans
MMA Testing Plan**

**Version 3.3
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Document Change Log

Version	Date	Author	Description of Changes
2.0	9/16/2005	CMS	Version released to Plans
3.0	10/18/2005	CMS	Version for final testing
3.1	10/20/2005	CMS	Correct 2.4 Header file format
3.2	10/24/2005	CMS	Correct Scenario 2 & 5. Added test case info to chart in Addendum
3.3	10/27/2005	CMS	Section 2 - Added more information about file naming conventions for C:D and Gentran Users
3.3	10/27/2005	CMS	Section 3 - Added and corrected information in the Test Case Scenarios
3.3	10/27/2005	CMS	Section 2 – Added the sections that describe the process and order of the tests.
3.3	10/27/2005	CMS	Added Section 9 – Beneficiary Demographic Data
3.3	10/27/2005	CMS	Added Sections 10 & 11 to provide RACF suggestions for CMS files to the plans

Table of Contents

1	INTRODUCTION	1-4
1.1	PURPOSE AND SCOPE	1-4
1.2	ASSUMPTIONS	1-4
1.3	REFERENCES	1-5
2	TESTING APPROACH/STRATEGY.....	2-1
2.1	OVERALL TESTING APPROACH AND STRATEGY.....	2-1
2.2	COMMUNICATIONS DURING TESTING	2-1
2.3	FIRST TEST – FAILED TRANSACTION	2-2
2.4	SECOND TEST – ENROLLMENT TRANSACTION FILE (SCENARIOS 1-7).....	2-2
2.5	THIRD TEST – CMS RESPONSES – WEEKLY TRR AND BATCH COMPLETION STATUS FILE.....	2-2
2.6	FOURTH TEST – FOUR RX AND RESPONSE (SCENARIO 9).....	2-3
2.7	FIFTH TEST – BATCH ELIGIBILITY QUERY (BEQ) AND RESPONSE (SCENARIO 8)	2-3
2.8	OUTGOING TO CMS - FILE NAME CONVENTIONS - GENTRAN	2-3
2.9	INCOMING TO PLANS- FILE NAME CONVENTIONS - GENTRAN.....	2-7
2.10	OUTGOING TO CMS - FILE NAME CONVENTIONS – CONNECT:DIRECT	2-8
2.11	INCOMING TO PLANS - FILE NAME CONVENTIONS – CONNECT: DIRECT	2-10
2.12	FILE FORMATS	2-11
2.13	CONNECTIVITY AND DATA TRANSFER	2-11
3	TEST SCENARIOS.....	3-1
	TEST CASE 1 - ENROLLMENT (60/61) – ANNUAL ELECTION PERIOD (AEP).....	3-1
	TEST CASE 2 - ENROLLMENT (60/61) – INITIAL ENROLLMENT PERIOD (IEP).....	3-2
	TEST CASE 3 - ENROLLMENT (60/61) - EMPLOYER SUBSIDY OVERRIDE FLAG – REJECTED	3-3
	TEST CASE 4 - DISENROLLMENT - OPT-OUT OF AUTO ASSIGN.....	3-4
	TEST CASE 5 -ENROLLMENT – AUTOMATIC DISENROLLMENT IF ACTIVELY ENROLLED WITH ANOTHER PLAN	3-5
	TEST CASE 6 - CANCELLATION (51) - CANCELLATION REQUEST AFTER ENROLLMENT REQUEST	3-6
	TEST CASE 7 - UPDATE (72) - SECONDARY PAYER UPDATES	3-7
	TEST CASE 8- BATCH ELIGIBILITY QUERY	3-8
	TEST CASE 9- 4RX NOTIFICATION	3-10
4	BATCH COMPLETION STATUS FILE & WEEKLY TRANSACTION REPLY REPORT	4-1
5	BATCH ELIGIBILITY QUERY (BEQ).....	5-1
6	4RX NOTIFICATION	6-1
7	TEST SCHEDULE AND MILESTONES.....	7-1
8	ADDENDUM –TEST BENEFICIARIES.....	8-1
9	ADDENDUM – BENEFICIARY DEMOGRAPHIC DATA.....	9-1
10	ADDENDUM – RACF SUGGESTIONS FOR WEEKLY TRR AND BATCH COMPLETION STATUS FILES	10-1

**11 ADDENDUM – RACF SUGGESTIONS FOR THE BEQ AND 4 RX RESPONSE
FILES.....11-1**

1 INTRODUCTION

The purpose of this document is to provide the data and processing requirements and describes the activities necessary for testing with CMS. The intended audience of this document is the Plan, specifically, the Plan's testing point of contact. This individual should be responsible for coordinating all testing activities on the Plan's behalf.

This document is organized into multiple sections to provide the Plan with an organized approach to preparing for and conducting this testing. Section 1 provides an explanation of the scope of the enrollment / eligibility query testing and prerequisite Plan setup activities. In section 2, the document describes the test preparation procedures, which vary slightly based on the Plan's selected approach to data transfer. This section also provides information and direction for obtaining the required security/access that will be used, pending the availability of the IACS system. Section 3 describes the contents of the enrollment tests to be performed with the Plans. Section 4 describes the expected report output of the enrollment tests and Section 5 provides instructions and information on the Batch Eligibility Query (BEQ) and 4Rx Notification testing process. Section 6 provides a high level schedule of events for the Plans to use to organize their resources. The Addendum will provide the HICN's to be used for each test case scenario.

1.1 Purpose and Scope

This document covers the activities required to execute the testing for the Plans, which is tentatively scheduled to begin October 24, 2005. The activities will span the preparation period, the processing period (i.e., transmission, processing, and pushing of reports), and post-processing period. This test covers Medicare Advantage (MA), Medicare Advantage Prescription Drug (MA-PD), Prescription Drug Plans (PDP) and Part D requirements for Medicare Advantage Prescription Drug (MARx), 4Rx Notifications, as well as Batch Eligibility Queries from the Medicare Beneficiary Database (MBD).

As Plans work through this process, questions, issues or concerns should be brought to the attention of the MMAHelp desk, by contacting them via e-mail at mmahelp@cms.hhs.gov or via phone at 1-800-927-8069. Please be prepared to provide specific, detailed information concerning the nature of the question or issue.

1.2 Assumptions

- The plans that will participate in the testing will transmit via Connect: Direct or transmit via the Gentrax mailbox.
- Access and connectivity preparation steps have been completed by the Plan. This includes having an EPOC and submitter registered through the IACS tool.
- Plans fully understand the business and technical requirements of CMS enrollment processes
- Each Plan partner will be responsible for the required setup in his or her own environment.

- CMS will be responsible for the set up in its environment.

1.3 References

The following documents provide detailed information on the various topics described and referenced in this Test Plan. They can be found on the mmahelp.cms.hhs.gov website.

Data Exchange Preparation Procedures
MARx Plan Communications User Guide
MARx C: D naming conventions
Gentran Naming conventions
BEQ Format Specifications and Instructions
4Rx Notification Format Specifications and Instructions
IACS User Guide

2 TESTING APPROACH/STRATEGY

2.1 Overall Testing Approach and Strategy

CMS will identify and deliver approximately 21 beneficiaries to each of the partners involved in this phase of system testing for the express purpose of exercising each of the nine scenarios described in section 3. The beneficiary data is provided in Section 9 of this test plan. As part of each test scenario, a table of beneficiary HICN's will be provided to use with each test case.

In order to accomplish these test scenarios, each of the CMS partners will have to have established connectivity to CMS, either through the use of a T1 line or through a Gentran mailbox via the Internet or Extranet. The individuals from the Plans, responsible for transmitting the data to CMS will need to obtain a Submitter (it must be a 'Submitter' ID, not an 'Approver' or 'Representative') Global Userid from IACS (CMS' new identity management system) and will also be assigned a RACF ID (if they don't already have one). This will be accomplished by logging into IACS (<https://applications.cms.hhs.gov>) and following the steps to register as a User/Submitter.

2.2 Communications during Testing

The MMA Help Desk will be in contact during the testing period to coordinate and communicate the testing activities and status. This coordination is done through the CSMM. The following is a list of the basic touch points between The MMA Help Desk and the plans that will occur via email communications. These touch points do not preclude any other communications needed for preparation for testing. These touch points should be followed through all phases of testing, described in sections 2.3, 2.4, 2.5, 2.6 and 2.7.

- The MMA Help Desk schedules testing with the plans
- The MMA Help Desk signals the start of testing via email
- Each plan submits a Failed Transaction File
- Plan will email the success of the "Fail Transaction File" Test to MMAHelp@cms.hhs.gov. Success is determined by the Plan receiving a Failed Transaction Data File. This file should return to the plan within 10 minutes. If not, it has failed and Plan should email status.
- If the "Fail Transaction File" Test works and a Failed Transaction Data File is received by the plan, then
- The Plan submits the Enrollment Transaction File for Scenarios 1-7.
- If the Enrollment Transaction File was accurate, CMS will send out the Weekly TRR and Batch Completion Status Summary Data File to the plan.
- Plan will email success of scenario test to MMAHelp@cms.hhs.gov. Success is determined by the receipt of the Batch Completion Status file and the Weekly TRR.

- Once those two reports are received by the plan, the plan can then submit their 4 Rx test file (Scenario 9) and notify the MMA Help Desk (by telephone or e-mail) that they have submitted their 4Rx Test File.
- CMS sends the 4Rx Response File to the plan.
- An optional BEQ can be submitted by the plans. Plans should notify the the MMA Help Desk (by telephone or e-mail) that a BEQ Test File is being submitted to CMS.
- CMS sends the BEQ Response file to the plan.
- Plan will email success of scenario test to MMAHelp@cms.hhs.gov . Success is determined by the receipt of 4RX/BEQ response files.

In general, Plans should expect to receive a response to the test scenarios within 24 hours of transmission.

If any tests are unsuccessful, at the plan site, contact the MMA Help Desk. If any tests are unsuccessful at CMS, the MMA Help Desk will notify the Plan.

2.3 First Test – Failed Transaction

All plans will submit an enrollment transaction that will fail as a test **first**. This improperly formatted transaction record will be supplied to all plans. Failed transactions are those transactions that cannot be loaded into MARx for processing due to formatting errors. This transaction will test specifically only the connectivity and security between CMS and its partners. When a partner inputs the improperly formatted transaction, the system performs basic file validation and transaction formatting edits on the transactions before any further processing may occur. These checks verify the correct file header, user authentication, transaction format, and data types for the transaction data elements. The Plan user who submitted the file receives the Failed Transaction Data File immediately after initial processing of the file is completed. Once this part of testing occurs accurately, the plan can then proceed to the next phase of testing.

2.4 Second Test – Enrollment Transaction File (Scenarios 1-7)

Plans will be notified, after successful completion of a successful failed transaction test, to submit their enrollment transaction file. Each partner will send in an enrollment transaction, representative of the test case scenarios 1-7 to CMS using the appropriate communication method (Connect: Direct or the Gentran Mailbox).

2.5 Third Test – CMS Responses – Weekly TRR and Batch Completion Status File

Once the Enrollment Transaction File has been successfully received and processed in CMS, a Weekly TRR and Batch Completion Status File will be returned to the initiating plan. See Section 4 for more information.

2.6 Fourth Test – Four Rx and Response (Scenario 9)

Once the plan successfully receives the Weekly TRR and Batch Completion Status File, the Four Rx transaction file can be sent into CMS using the appropriate communication method (Connect: Direct or the Gentran Mailbox). CMS will return the appropriate response for this test. See Section 6 for more information.

2.7 Fifth Test – Batch Eligibility Query (BEQ) and Response (Scenario 8)

The plan can send in their BEQ, when directed by CMS and CMS will return the appropriate response for this test. All plans have the option to perform this test. See Section 5 for more information.

2.8 Outgoing to CMS - File Name Conventions - Gentran

Files sent to the Enterprise File Transfer Facility GENTRAN mailboxes should follow the naming conventions below.

Filename IN ALL CAPITAL LETTERS

Enrollment Transaction File (Scenarios 1-7) and the Failed File Transaction Test:

Note: The following descriptions describe how the file name should be created for the Enrollments/Disenrollment/Corrections (and the Failed File Transaction) test.

Format: GUID.RACFID.APPID.X.UNIQUEID.FUTURE.W

Example: AAAA888.B111.MARX.D.S2222.FUTURE.T

File Name Convention	Description
GUID	7 character Alphanumeric user ID generated by the Individuals Authorized Access to CMS Computer Services (IACS).
RACFID	4 character RACF user ID.
APPID	MARX Note: The system that will process the inbound file.
X	D (for daily) Note: This field indicates type of data, e.g., Daily.

	However, multiple file types may be transmitted on the same day. (e.g., 2 Daily submissions).
UNIQUEID	5 character Contract # beginning with H, S, R or 9.
FUTURE	Code FUTURE.
W	Code T for Test Data (P when done in PROD)
ZIP	Only used when file compression is used and automatically added to the file name by the ZIP application, e.g., WINZIP or PKZIP. Note: WINZIP version 9 or higher is required to support long file names.
. (Periods)	Delineators

Four Rx Test:

Note: The following descriptions describe how the file name should be created for the Four Rx test.

Format: **GUID.RACFID.APPID.X.UNIQUEID.FUTURE.W**

Example: **AAAA888.B111.MBD.X.S2222.4RX.T**

File Name Convention	Description
GUID	7 character Alphanumeric user ID generated by the Individuals Authorized Access to CMS Computer Services (IACS).
RACFID	4 character RACF user ID. Note: If no RACF ID, insert NONE.
APPID	MBD Note: The system that will process the inbound file.
X	D (for daily) Note: This field indicates type of data, e.g., Daily. However, multiple file types may be transmitted on the same day. (e.g., 2 Daily submissions).
UNIQUEID	5 character Contract # beginning with H, S, R or 9.
FUTURE	Code 4RX.
W	Code T for Test Data (P when done in PROD)
ZIP	Only used when file compression is used and automatically added to the file name by the ZIP application, e.g., WINZIP or PKZIP.

	Note: WINZIP version 9 or higher is required to support long file names.
. (Periods)	Delineators

BEQ Test

Note: The following descriptions describe how the file name should be created for the BEQ test.

Format: **GUID.RACFID.APPID.X.UNIQUEID.FUTURE.W**

Example: **AAAA888.B111.MBD.X.S2222.BEQ.T**

File Name Convention	Description
GUID	7 character Alphanumeric user ID generated by the Individuals Authorized Access to CMS Computer Services (IACS).
RACFID	4 character RACF user ID. Note: If no RACF ID, insert NONE.
APPID	MBD Note: The system that will process the inbound file.
X	D (for daily) Note: This field indicates type of data, e.g., Daily. However, multiple file types may be transmitted on the same day. (e.g., 2 Daily submissions).
UNIQUEID	5 character Contract # beginning with H, S, R or 9.
FUTURE	Code BEQ.
W	Code T for Test Data (P when done in PROD)
ZIP	Only used when file compression is used and automatically added to the file name by the ZIP application, e.g., WINZIP or PKZIP. Note: WINZIP version 9 or higher is required to support long file names.
. (Periods)	Delineators

2.9 Incoming to Plans- File Name Conventions - Gentrans

The filename created by the application will be sent unchanged to the mailbox. GENTRAN will then append a unique identifier at the end of the file. When downloading the file from your organizational mailbox, you may change the file name in accordance with your organizational naming requirements.

The value **pn** is a Processing Number of varying length assigned to the file by Sterling Mailbox (Gentrans).

Note: Uppercase alphas below are keyed as literals. Lowercase alphas are variables.

Failed Transaction Data File Test:

(Report created from the failed enrollment transaction test)

uuuu.@BGD5050.YMyyyymm.Ddd.HMhhmm.FAILED.pn

Note: uuuu = 4 position transmitter user id.

Transaction Reply Weekly Activity Report (Weekly TRR):

(Report created from the Enrollment Transaction File, test case scenarios, 1-7)

P#MMA.@BGD5050.PLNxxxxx.YMyyyymm.Ddd.TRWEEKR.pn

Note: xxxxx = 5 position contract number

Batch Completion Status Summary Data File:

(Report created from the Enrollment Transaction File, test case scenarios, 1-7)

uuuu.@BGD5050.YMyyyymm.Ddd.HMhhmm.BATCHSTD.pn

Note: uuuu = 4 position transmitter user id.

Four Rx Response:

P#MBD.#RXN4.xxxxx.OUT.RESPONSE.pn

Xxxxx = The 5-position Contract Number

BEQ Test Response:

P#MBD.#BQN4.xxxxx.OUT.RESPONSE.pn

xxxxxx = The 5-position Contract Number

**2.10 Outgoing to CMS - File Name Conventions –
Connect:Direct**

Enrollment Transaction File (Scenarios 1-7) and the Failed Transaction Test:

For enrollment testing, the DSN and DSN2 values are modified in the Connect: Direct setup. Please note that for testing, the JCLLIB value is **P@MMA** (not P@MCS) and the file name has been appended with .TEST.

NDMWORKS Process Code - Testing

PROCNAME	PROCESS	PNODE=XXX.XXXX SNODE=CD.DDP SNODEID=(NDMXXXXXX,NDMXXXXXX)
	SUBMIT	DSN= P@MMA.@BGD5050.JCLLIB(NDMXXXXP) &DSN1=XXX.XXX.XXXX &DSN2=XXXX.@BGD5050.TRANSFER.DATA.TEST SUBNODE=SNODE

The Plan's programmer must fill in the following variable information before executing the NDMWORKS process:

- PROCNAME: The programmer may select any name for this process.
- PNODE: This is the Plan node name.
- SNODEID: This is the Plan CMS SPOE ID and password, as issued by CMS.
- SUBMIT: The DSN for TESTING should read as follows:
P@MMA.@BGD5050.JCLLIB(NDMUUUP)
The UUUU = 4 position transmitter user ID
- &DSN1: This is the sending DSN that resides on the Plan mainframe.
- &DSN2: This is the receiving DSN that resides on the CMS mainframe and should read **UUUU.@BGD5050.TRANSFER.DATA.TEST**
The UUUU = 4 position transmitter user ID.
- SUBNODE: This is the node (mainframe) that receives control for processing the NDMXXXXP.

Four Rx

P#MBD.#BTCH4.xxxxx.IN.RQST.NDM

xxxxxx = The 5-position Contract Number.

BEQ

P#MBD.#BTCH4.xxxxx.IN.RQST.NDM

xxxxxx =The 5-position Contract Number.

2.11 Incoming to Plans - File Name Conventions – Connect: Direct

For Plans using C:D to transmit files to CMS, it is **critical** to your success that you have verified the permissions for the files being written to your system by CMS processes (i.e. transaction response files, report files, etc.). You have previously provided the High Level Qualifier/Directory information that you wish CMS to use in sending these files to your system. **Please ensure that your system security is set up to accept files with these names. The underlined qualifiers are suggested RACF security implementation, for mainframe users only. See Sections 10 and 11 for more information.**

Key: zzzzzzzz = Plan provided high level qualifier
 xxxxx= The 5-position Contract Number
 uuuu = 4 character transmitter ID

Failed Transaction Data File Test:

(Report created from the failed enrollment transaction test)

zzzzzzzz.uuuu.YMyyyymm.Ddd.HHhhmm.FAILED

\\[directory]\P#MMA@BGD5050.PLNxxxxx.YMyyyymm.Ddd.FAILED
 (non-mainframe)

Transaction Reply Weekly Activity Report (TRR):

(Report created from Enrollment Transaction File, the test case scenarios, 1-7)

zzzzzzzz.PLNxxxxx.YMyyyymm.Ddd.TRWEEKR (For mainframe)

\\[directory]\P#MMA@BGD5050.PLNxxxxx.YMyyyymm.Ddd.TRWEEKR
 (non-mainframe)

Batch Completion Status Summary Data File

(Report created from the Enrollment Transaction File, test case scenarios, 1-7)

zzzzzzzz.PLNxxxxx.YMyyyymm.Ddd.BATCHSTD (For mainframe)

\\[directory]\P#MMA@BGD5050.PLNxxxxx.YMyyyymm.Ddd.BATCHSTD
 (non-mainframe)

Four Rx Response:**ZZZZZZZ.#RXN4.xxxxx.OUT.RESPONSE****BEQ Response:****ZZZZZZZ.#BQN4.xxxxx.OUT.RESPONSE****2.12 File Formats**

All transaction into CMS should have at least a header record. The file formats are shown in the Plan Communications User's Guide, Appendix E.

Example: The Header file format for the Enrollment Transaction File and the Failed Transaction test.

Item	Field	Size	Position	Header	Description
1	Header Message	12	1 – 12	R	'AAAAAAHEADER'
2	Filler	21	13 – 33	N/A	Spaces
3	Payment Month	6	34 – 39	R	MMYYYY (Note that the date should be 1 month after the processing date, e.g., input 022002 for data submitted before the January 2002 cutoff.)
4	Filler	185	40 – 224	N/A	Spaces

2.13 Connectivity and Data Transfer

As described in the Data Exchange Preparation Procedures (DEPP) document, Plans will have demonstrated the ability to connect to CMS either thru the MDCN or the Internet.

For Plans using Connect: Direct to transfer data to CMS, CSMM must have received a completed SPOE form and a C: D set up form with all information requested. This information includes:

- SPOE id (to identify the organization that is sending the file).

- Transmitter ID (user's RACF-ID) that identifies the individual(s) that will be sending the data. This ID must be the high-level qualifier (HLQ) for all incoming (to CMS) MARx files.
- The Plan's HLQ for CMS to push files to.
- The Plan's security access information (i.e. SNODE, Userid, password), if needed by CMS to push a file.

For Plans using Gentran (either thru SFTP or HTTPS), the Plan will have demonstrated the ability to connect to Gentran as described in the DEPP. In addition, once the user ID of the transmitter (described above) is established, the Plan should access Gentran and send a test file to their mailbox.

Failure to complete these tasks with the MMA Help Desk prior to the scheduled testing will result in the Plan being eliminated from that round of testing.

2.14 BEQ and 4Rx Email Messages

The MBD will determine if a BEQ Request File or 4Rx Notification File shall be Accepted or Rejected based upon the File Error Conditions as documented in their respective "Format Specification and Instructions." Upon determining if a BEQ Request File or 4Rx Notification File is to be Accepted or Rejected, the MBD will generate an email acknowledgement of receipt conveying this outcome.

- If the file has been Accepted, the email notification shall inform the Sending Entity that the file has been Accepted and shall be processed.
- If the file has been Rejected, the email notification shall inform the Sending Entity of the first File Error Condition which had caused the file to be Rejected. The original file will not be returned.

This email acknowledgement/notification will be issued to the Sending Entity. Below are the formats of these email messages:

File Acceptance email

To: CMS MBD User
From: 'email address'
Subject: CMS MMA DATA EXCHANGE FOR 'exchange name'
Sent: 'datetimestamp'

'exchange name' FILE HAS BEEN RECEIVED AND PASSED SURFACE EDITS BY
CMS

QUESTIONS CONTACT 1-800-927-8069 or email mmahelp@cms.hhs.gov

INPUT HEADER RECORD

'file header data'

INPUT TRAILER RECORD

'file trailer data'

File Reject email

To: CMS MBD User

From: 'email address'

Subject: CMS MMA DATA EXCHANGE FOR 'exchange name'

Date: 'datetimestamp'

'exchange name' FILE HAS BEEN RECEIVED AND FAILED SURFACE EDITS BY
CMS

QUESTIONS CONTACT 1-800-927-8069 or email mmahelp@cms.hhs.gov

INPUT HEADER RECORD

'file header data'

INPUT TRAILER RECORD

'file trailer data'

'error messages'

3 Test Scenarios

Test Case 1 - Enrollment (60/61) – Annual Election Period (AEP)

Test case #1	Application	Initiating File	
<i>Enrollee Approved for AEP – no LIS</i>	<i>AEP - Enrollment</i>	<i>Enrollment Transaction Code (61) Election Type(A), Effective Date = 20060101, Application Date =20051115, Creditable Coverage = (Y)</i>	
<p>Data Dependencies:</p> <ul style="list-style-type: none"> ▪ CMS reference data should indicate that the beneficiary is allowed to enroll in the AEP status. <p>Note: Please refer to the “Required Fields on Input Transactions 10272005.xls” file for the proper completion of all fields.</p>			
File Event	File Name	Expected Result	Actual Result
1	<i>Enrollment Transaction File (61)</i>	<i>Bene is successfully enrolled in the CMS System.</i>	
2	<i>Batch Completion Status File</i>	<i>The Summary record will reflect an accepted record count for this scenario.</i>	
3	<i>Weekly Transaction Reply Report</i>	<i>Bene record will be on the TRR with an accepted Reply Code 011 and/or Reply Code 016 if bene is out of area. Low income Co-Pay Category = 0.</i>	

Test Case 2 - Enrollment (60/61) – Initial Enrollment Period (IEP)

Test case #2	Application	Initiating File
<i>Enrollee Approved for IEP – LICS=1 (\$2/5), Part D effective 20060101</i>	<i>Enrollment</i>	<i>Enrollment Transaction Code (61) Election Type(E), Effective Date = 20060101, Application Date = 20051201, Creditable Coverage (Y)</i>

Data Dependencies:
 CMS reference data should indicate that the beneficiary is eligible for enrollment.

Note: Please refer to the “Required Fields on Input Transactions 10272005.xls” file for the proper completion of all fields.

File Event	File Name	Expected Result	Actual Result
1	<i>Enrollment Transaction File (61)</i>	<i>Bene is successfully enrolled in the CMS System.</i>	
2	<i>Batch Completion Status File</i>	<i>The Summary record will reflect an accepted record count for this scenario.</i>	
3	<i>Weekly Transaction Reply Report</i>	<i>Bene record will be on the TRR with an accepted Reply Code of 011 and/or Reply Code 016, if bene is out of area. Low income Co-Pay Category = 1.</i>	

Test Case 3 - Enrollment (60/61) - Employer Subsidy Override Flag – Rejected

Test case #3		Application	Initiating File
<i>Employer Subsidy Override Flag – Rejected</i>		<i>Enrollment</i>	<i>Enrollment Transaction Code (61) Election Type(A), Effective Date = 20060101, Application Date = 20051115, Employer Subsidy Override Flag Override=blank</i>
<p>Data Dependencies: CMS reference data should indicate that the beneficiary is eligible for enrollment.</p> <p>Note: Please refer to the “Required Fields on Input Transactions 10272005.xls” file for the proper completion of all fields.</p>			
File Event	File Name	Expected Result	Actual Result
1	<i>Enrollment Transaction File (61)</i>	<i>Bene is successfully enrolled in the CMS System. RDS flag = Yes in MBD at enrollment effective date</i>	
2	<i>Batch Completion Status File</i>	<i>The Summary record will reflect an rejected record count for this scenario, with a code 127</i>	
3	<i>Weekly Transaction Reply Report</i>	<i>Bene record on file with a rejected code 127.</i>	

Test Case 4 - Disenrollment - Opt-Out of Auto Assign

Test case #4		Application	Initiating File
<i>Opt-out of Auto Assign</i>		<i>Disenrollment</i>	<i>Enrollment Transaction Code (51) Election Type(S), Effective Date = 20060101, Part D Opt-Out Flag=Y</i>
<p>Data Dependencies: CMS reference data should indicate that the beneficiary is eligible for disenrollment.</p> <p>Note: Please refer to the “Required Fields on Input Transactions 10272005.xls” file for the proper completion of all fields.</p>			
File Event	File Name	Expected Result	Actual Result
1	<i>Enrollment Transaction File (51)</i>	<i>Bene is successfully enrolled in the CMS System.</i>	
2	<i>Batch Completion Status File</i>	<i>The Summary record will reflect an accepted record count for this scenario.</i>	
3	<i>Weekly Transaction Reply Report</i>	<i>Bene record on file with a Reply Code of 13 and 131.</i>	

Test Case 5 -Enrollment – Automatic Disenrollment if actively enrolled with another Plan

Test case #5	Application	Initiating File	
<i>Enrollment – Automatic Disenrollment if actively enrolled with another plan</i>	<i>Enrollment</i>	<i>Enrollment Transaction Code (61) Election Type(A), Effective Date = 20060101, Application Date = 20051215</i>	
<p>Data Dependencies: CMS reference data should indicate that the beneficiary is actively enrolled in another plan</p> <p>Note: Please refer to the “Required Fields on Input Transactions 10272005.xls” file for the proper completion of all fields.</p>			
File Event	File Name	Expected Result	Actual Result
1	<i>Enrollment Transaction File (61)</i>	<i>Bene is successfully enrolled in the CMS System.</i>	
2	<i>Batch Completion Status File</i>	<i>The Summary record will reflect an accepted record count for this scenario.</i>	
3	<i>Weekly Transaction Reply Report</i>	<i>Bene record on file, no change in data. Might be Reply code 011 and/or Reply Code 016 if bene is out of area.</i>	

Test Case 6 - Cancellation (51) - Cancellation request after enrollment request

Test case #6	Application	Initiating File	
<i>Cancellation request after enrollment request</i>	<i>Disenrollment</i>	<i>Enrollment Transaction File (51) Effective Date = 20060101, Election Type (S)</i>	
<p>Data Dependencies:</p> <ul style="list-style-type: none"> ▪ CMS reference data should indicate that the beneficiary is currently enrolled in your contract with an Enrollment Effective date of Jan. 1, 2006. ▪ <p>Note: Please refer to the “Required Fields on Input Transactions 10272005.xls” file for the proper completion of all fields.</p>			
File Event	File Name	Expected Result	Actual Result
1	<i>Enrollment Transaction File (51)</i>	<i>Bene is successfully enrolled in the CMS System.</i>	
2	<i>Batch Completion Status File</i>	<i>The Summary record will reflect an accepted record count for this scenario.</i>	
3	<i>Weekly Transaction Reply Report</i>	<i>Bene record on file with Transaction ReplyCode 015</i>	

Test Case 7 - Update (72) - Secondary payer updates

Test case #7		Application	Initiating File
<i>Secondary payer updates</i>		<i>Plan Change</i>	<i>Enrollment Transaction Code (72) Effective Date=20060101, Secondary Drug Insurance Flag=Y</i>
<p>Data Dependencies: CMS reference data should indicate that the beneficiary is currently enrolled with your contract with no secondary payer information.</p> <p>Note: Please refer to the “Required Fields on Input Transactions 10272005.xls” file for the proper completion of all fields.</p>			
File Event	File Name	Expected Result	Actual Result
1	<i>Enrollment Transaction File (72)</i>	<i>Bene is successfully enrolled in the CMS System.</i>	
2	<i>Batch Completion Status File</i>	<i>The Summary record will reflect an accepted record count for this scenario.</i>	
3	<i>Weekly Transaction Reply Report</i>	<i>Bene record on file, with Reply Code 143, Secondary insurance Rx Number change accepted.</i>	

Test Case 8- Batch Eligibility Query

Test case #8	Application	Initiating File	
<i>Batch Eligibility Query (BEQ)</i>	<i>Medicare Beneficiary Database(MBD)</i>	<i>First BEQ Request transaction:</i> <ul style="list-style-type: none"> • <i>HICN, SSN, DOB, & Gender & from enrollment test case #1.</i> <i>Second BEQ Request transaction:</i> <ul style="list-style-type: none"> • <i>HICN from enrollment test case #2</i> • <i>SSN=578563048</i> • <i>DOB=18761299</i> • <i>Gender=3.</i> 	
<p>Data Dependencies:</p> <ul style="list-style-type: none"> ▪ Two beneficiary HICN's selected for this test case, supplied by CMS, are identified in the appropriate Plan Addendum, HICN's in test case #1 and test case #2. 			
File Event	File Name	Expected Result	Actual Result
1	<i>Plan sends a BEQ Request File with 2 BEQ Request transactions, one for each of the identified HICN's on the MBD</i>	<i>MBD prepares a response file for the BEQ</i>	
2	<i>MBD emails acknowledgment of receipt and file acceptance to the Plan</i>	<i>Plan receives email acknowledgment of receipt and file acceptance</i>	
3	<i>MBD pushes a BEQ Response File to the Plan</i>	<i>Plan receives BEQ Response File containing:</i> <ul style="list-style-type: none"> • <i>First BEQ Response Record contains Processed Flag=Y, Beneficiary Match Flag=Y, and provides all available MBD data requested on Bene</i> 	

		<ul style="list-style-type: none">• <i>Second BEQ Response Record contains Processed Flag=Y, Beneficiary Match Flag=N, and provides no MBD data on Bene</i>	

Test Case 9- 4Rx Notification

Test case #9	Application	Initiating File
<i>4Rx Notification</i>	<i>Medicare Beneficiary Database(MBD)</i>	<p><i>First 4Rx transaction:</i></p> <ul style="list-style-type: none"> • <i>HICN, SSN, DOB, Gender, Contract Number, PBP Number, PBP Enrollment Effective Date from enrollment test case #1</i> • <i>Valid Rx Bin, Rx PCN, Rx ID, and Rx Group.</i> <p><i>Second 4Rx transaction:</i></p> <ul style="list-style-type: none"> • <i>HICN=Spaces</i> • <i>SSN=spaces</i> • <i>DOB, Gender, Contract Number, PBP Number, PBP Enrollment Effective Date from enrollment test case #2.</i> • <i>Valid Rx Bin, Rx PCN, Rx ID, and Rx Group.</i> <p><i>Third 4Rx transaction:</i></p> <ul style="list-style-type: none"> • <i>HICN, SSN, DOB, Gender, Contract Number, and PBP Number from test case #1</i> • <i>PBP Enrollment Effective Date=20200602</i> • <i>Valid Rx Bin, Rx PCN, Rx ID, and Rx Group.</i>

Data Dependencies:

- HICN's will be selected for this test case, supplied by CMS, is identified in the Addendum. These HICN's will also be used in other test case scenarios

File Event	File Name	Expected Result	Actual Result
1	<i>Plan sends a 4Rx Notification File with three 4Rx Notification transactions related to the 2 identified HICN's on the MBD</i>	<i>MBD prepares a 4x Response File for the 4Rx Notification File received from the Plan</i>	
2	<i>MBD emails acknowledgment of receipt and file acceptance to the Plan</i>	<i>Plan receives email acknowledgment of receipt and file acceptance</i>	
3	<i>MBD pushes a 4Rx Response File to the Plan</i>	<i>Plan receives 4Rx Response File containing:</i> <ul style="list-style-type: none"> <i>• First 4Rx Response Record contains Processed Flag=Y, Beneficiary Match Flag=Y, PBP Enrollment Match Flag=Y, and all Error Return Codes (ERCs)=000</i> <i>• Second 4Rx Response Record contains Processed Flag=N, Beneficiary Match Flag=Space, and PBP Enrollment Match Flag=Space</i> <i>• Third 4Rx Response Record contains Processed Flag=Y, Beneficiary Match Flag=Y, and PBP Enrollment Match Flag=N</i> 	
4			

4 **Batch Completion Status File & Weekly Transaction Reply Report**

The Batch Completion Status File and the Weekly Transaction Reply Report are the files that will be transmitted from CMS back to the Plans in response to test cases 1-7, described in Section 3. Note that only the Weekly TRR will be used for these tests, since it is the same format and content as the Monthly TRR (just different names and run dates). The TRRs provide the cumulative totals of all transactions against beneficiaries in your plan for that week and month.

The Batch Completion Status File should display the following data for the 7 test cases:

Accepted Records	18
Rejected Records	3

5 Batch Eligibility Query (BEQ)

Each plan will submit one detail query (see scenario #7) using Beneficiary information identified and supplied by CMS. Below describes the test procedures for the BEQ Plan Test:

- The Plan will use the latest version of the “BEQ Format Specifications and Instructions” published/provided by CMS.
- Each Plan will submit one BEQ Request File containing a Header, Trailer, and the Detail Record as identified.
- CMS will process the file and perform file level error checks in keeping with the file level error conditions described in the “BEQ Format Specifications and Instructions.”
- Upon determining if a BEQ Request File is to be Accepted or Rejected, the MBD will generate an email acknowledgement (to the email address provided by the submitter when they registered in IACS?) of receipt conveying the outcome.
 - If the BEQ Request File is accepted (passes file level edits),
 - The email notification will inform the Plan that the BEQ Request File has been accepted and shall be processed; and
 - CMS will send the Plan a BEQ Response File that has been manually prepared with the appropriate data for the Beneficiary referenced in the (incoming) BEQ Request Detail Record.
 - If the Batch Eligibility Query (BEQ) Request File is rejected,
 - The email notification shall inform the Plan of the first file error condition, which had caused the BEQ Request File to be rejected.
 - The rejected file will not be returned.
 - CMS and the Plan will arrange a mutually agreeable date for the Plan to resubmit a BEQ Request File in order to achieve a successful test.

6 4Rx Notification

Each plan will submit one file containing 4Rx Notification Detail Records (transaction), using Beneficiary information identified and supplied by CMS, (see scenario #9). Below describes the test procedures for the 4Rx Notification Test:

- The Plan will use the latest version of the “4Rx Format Specifications and Instructions” published/provided by CMS.
- Each Plan will submit one 4Rx Notification File containing a Header, Trailer, and Detail Record as identified.
- CMS will process the file and perform file level error checks in keeping with the file level error conditions described in the “4Rx Format Specifications and Instructions.”
- Upon determining if a 4Rx Notification File is to be Accepted or Rejected, the MBD will generate an email acknowledgement (to the email address provided by the submitter when they registered in IACS?) of receipt conveying the outcome.
 - If the 4Rx Notification File is accepted (passes file level edits),
 - The email notification will inform the Plan that the 4Rx Notification File has been accepted and shall be processed; and
 - CMS will send the Plan a 4Rx Response File that has been manually prepared with the appropriate data for the Beneficiaries referenced in the (incoming) 4Rx Notification Detail Records.
 - If the 4Rx Notification File is rejected,
 - The email notification shall inform the Plan of the first file error condition, which had caused the 4Rx Notification File to be rejected.
 - The rejected file will not be returned.
 - CMS and the Plan will arrange a mutually agreeable date for the Plan to resubmit a 4Rx Notification File in order to achieve a successful test.

7 TEST SCHEDULE AND MILESTONES

This section lists the milestone events and dates for the testing.

NLT* Date	Milestone
10/5/2005	Initial Test Plan
10/20/2005	Final Approval of Test Plan
10/21/2005	Beneficiary data sent to plans
10/24/2005	System Readiness Check
10/25/2005	Testing Begins – CMS requests that the initial Plan send in tests files.
10/26/2005	CMS Test File Responses back to the plans
10/27/2005	CMS Begins testing with the plans
11/2/2005	Testing is Completed
11/7/2005	Testing Begins for Subsequent Plans
12/15/2005	Testing Ends

* NLT – No Later Than

8 Addendum –Test Beneficiaries

Scenario	Test HICN	Scenario Type	MBD Set Up	MARx Set Up – Initial Contract	Comments
1	001-10-4608A 001-10-4708A 001-10-4808A	Enroll - AEP	None		
2	001-18-7401A 001-18-8001A 001-18-8401A	Enroll -IEP	Part A & B Effective Dates = 1/1/06; Open term dates; Subsidy Start Date = 8/1/05; Open term date; Source = SSA; Copay lvl = 2/5 (Nancy to populate actual value)	Replicate data to test environment	
3	001-44-4004A 001-50-4203A 001-50-7003A	Enroll – Employer Subsidy	RDS Indicator = Y	Replicate data to test environment	
4	001-54-0603A 001-54-1704A 001-54-1904A	Dis-enroll Opt-Out	Create enrollment records for MARx	Execute enrollment records in MARx	
5	001-66-6605A 011-22-1100A 013-16-0404A	Election of another plan	Create enrollment records for MARx	Execute enrollment records in MARx	
6	014-18-5302A 014-54-1401A 015-20-8401A	Cancellation Request	Create enrollment records for MARx	Execute enrollment records in MARx	
7	017-05-0902A 017-05-5002A 017-12-1205A	Secondary Payer updates	Create enrollment records for MARx	Execute enrollment records in MARx	
8	001-10-4608A (1 st BEQ Request)	BEQ			**This test case, Plan should set up

	<p>001-10-4808A (Also a 1st BEQ Request)</p> <p>001-18-7401A** (2nd BEQ Request)</p>				<p>the following data: SSN=578563048; DOB=18761299; Gender=3.</p>
9	<p>001-10-4608A (1st Test Record)</p> <p>001-10-4708A (2nd Test Record)</p> <p>001-10-4808A (3rd Test Record)</p>	Four Rx			<p>Plans: see CMS Test Plan, Test Case # 9 for data prep necessary to complete this test.</p>

9 Addendum – Beneficiary Demographic Data

The below is the beneficiary demographic data to be used within the test case scenarios.

001104608A ALBRIGHT ROBERT E119390606
001104708A TROWBRIDGE GREIG T119340817
001104808A HOUSTON EVERETTA 119290323
001187401A NOBLE THERESA M219281003
001188001A PERRY MARIE T219261106
001188401A STEFANIK LAURETTC219290412
001444004A BRACKETT GUY R119210915
001504203A PURRINGTON LYMAN 119401223
001507003A GAGNON BERTHE M219180918
001540603A BELLEMARE GEORGE C119230822
001541704A SPINNEY SYLVIA L219371104
001541904A COTE ADRIEN 119261210
001666605A LIBBY HAROLD E119331208
011221100A LEAVITT DOROTHY 219131017
013160404A BELISLE HELEN M219180811
014185302A BOLLIN ELEANORF219220713
014541401A TUCKER ELIZABEJ219580720
015208401A JABOUR SALVATO 119260704
017050902A KRUEGER ELISABEM219160511
017055002A DACIER ERNEST P119120820
017121205A MACNEILL HAROLD A119230301

10 Addendum – RACF Suggestions for Weekly TRR and Batch Completion Status Files

Files pushed from CMS to plans using mainframe based C:D fall into two general categories:

(In the following examples:

zzzzzzzz - High-level qualifier specified by the plans

uuuu - submitter ID

xxxxxx - contract number

YM - literal 'YM'

D - literal 'D'

HM - literal 'HM'

R - literal 'R')

- 1) 'User' based files which plans receive in response to transaction files submitted to CMS. These files include the Failed Transaction file and the Batch Completion Status report. When CMS pushes these files to the plans, we utilize the HLQ specified by the plan, and the submitter ID in the name. For example:

zzzzzzzz.uuuu.YMyyyymm.Ddd.HMhhmm.FAILED (failed report)

zzzzzzzz.uuuu.YMyyyymm.Ddd.HMhhmm.BATCHSTD (batch status)

A suggested RACF security policy for these MARx files is as follows:

Two-level Profile

*zzzzzzzz.uuuu.**

Three- level Profile

*zzzzzzzz.uuuu.YM**

*Remember that a rule would need to be created for every transmitter (uuuu).

- 2) Plan based files which are the weekly/monthly reports and data files that are pushed to the plans. These plans fall into two general categories, weekly and monthly files:

The weekly files have a date/time stamp and are of the following format:

ZZZZZZZ.PLNXXXXX.YMyyyymm.Ddd.RPTNAME (RPTNAME - is variable depending upon report or data file)

The monthly files have a 'run month' and are of the following format:

ZZZZZZZ.PLNXXXXX.Rmmyyyy.RPTNAME (RPTNAME - is variable depending upon report or data file)

A suggested RACF security policy for these CMS files is as follows:

Two-level Profile

ZZZZZZZ.PLNXXXXX.*

Three- level Profile

ZZZZZZZ.PLNXXXXX.YM*

ZZZZZZZ.PLNXXXXX.R*

* Remember that a rule would need to be created for every contract number (xxxxx) for the plan.

11 Addendum – RACF Suggestions for the BEQ and 4 RX Response Files

Files pushed from CMS to plans using mainframe based C:D:

(In the following examples:

zzzzzzzz - High-level qualifier specified by the plans

xxxxx - contract number

1) The response file for the BEQ transaction will be:

zzzzzzzz.#BQN4.xxxxx.OUT.RESPONSE

A suggested RACF security policy for this CMS file is as follows:

Three- level Profile

*zzzzzzzz.#BQN4.xxxxx.**

*Remember that a rule would need to be created for every contract number (*xxxxxx*)

2) The response file for the 4RX transaction will be:

zzzzzzzz.#RXN4.xxxxx.OUT.RESPONSE

A suggested RACF security policy for this CMS file is as follows:

Three- level Profile

*zzzzzzzz.#RXN4.xxxxx.**

*Remember that a rule would need to be created for every contract number (*xxxxxx*)