Centers for Medicare & Medicaid Services
CMS eXpedited Life Cycle (XLC)

Electronic Retroactive Processing Transmission (eRPT)

Plan User Manual

Version 2.0

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1. Introduction

The basic purpose of this document is to provide instructions to plan users to submit retroactive processing transmission documents to Retroactive Processing Contractor (RPC – Reed and Associates). This document provides step by step instructions along with screen shots on how to submit a package, upload supporting document, view documents sent by RPC, update a package, search for package and documents etc.,

2. Overview

The Electronic Retroactive Processing Transmission (eRPT) application is a web-based application designed to facilitate and manage the electronic submission, workflow processing and storage of documentation associated with retroactive enrollment change requests from Medicare Advantage Organizations (MAOs), Medicare Advantage Prescription Drug Plans (MA-PDs), Cost Plans, Program of All Inclusive Care for the Elderly (PACE), Medicare-Medicaid Plans (MMPs) and Prescription Drug Plans (PDPs). The retroactive change requests include but are not limited to: enrollments, disenrollment, reinstatements, Plan Benefit Package (PBP) changes, Plan Segment changes, State County Code changes (SCC), Low Income Subsidy (LIS), Medicaid and End Stage Renal Disease (ESRD)) submitted by plan/sponsors or a designated submitting organization to the Retroactive Processing Contractor (RPC).

The plan users will be able to view response documents and EDV Review Packages submitted by RPC via eRPT. The plan users will also have access to respond to EDV review packages by uploading supporting documents in the eRPT application.

2.1 Project Diagrams

The following diagram depicts high level business process diagram.

2.1.1 eRPT Implementation High-Level Business Process Diagram

Figure 1: eRPT High-Level Business Process

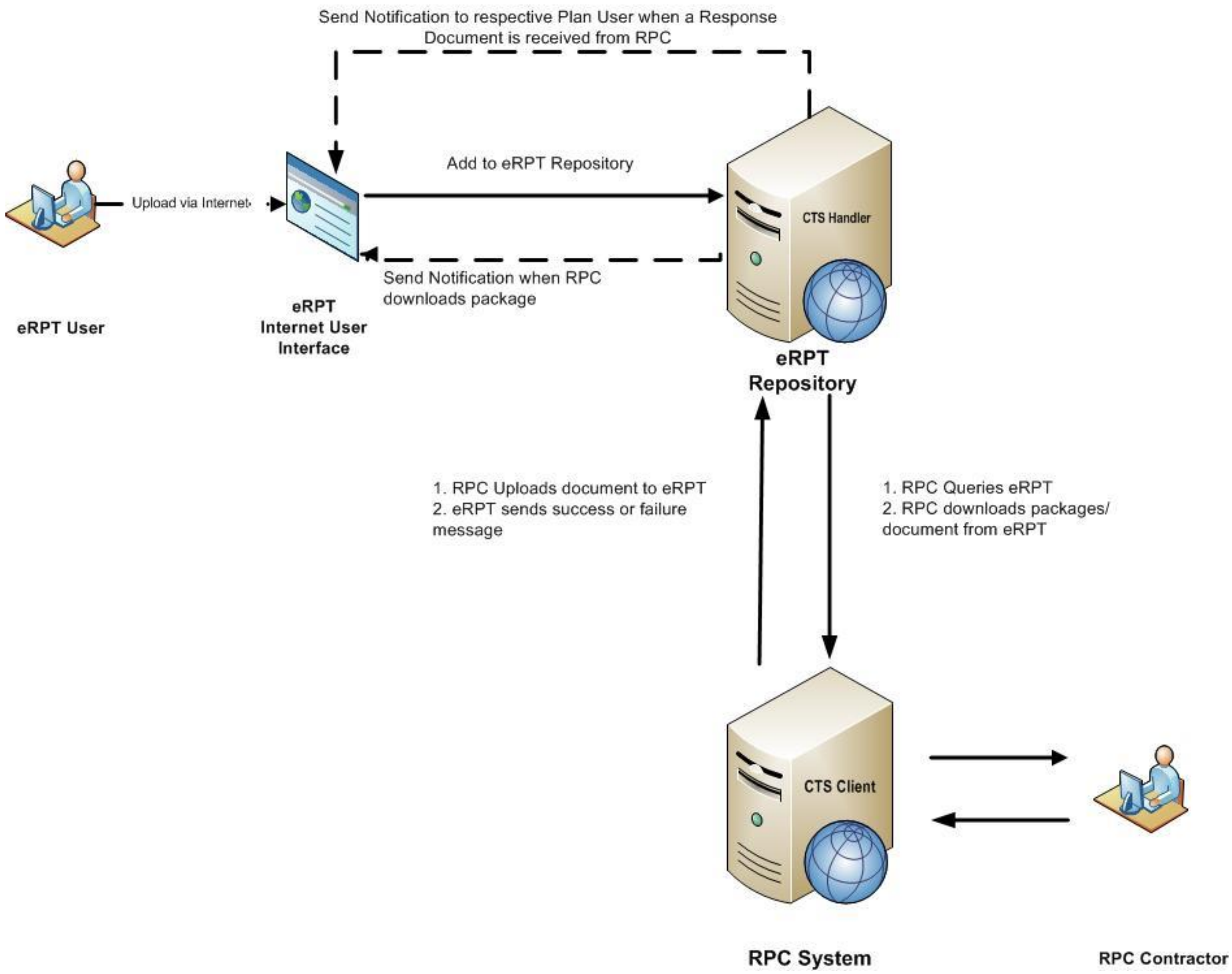


Table 1: eRPT High Level Business Process Event Description

Events	Description
1.	Plan Representative will submit the Package using the user interface. The eRPT application will capture the time when the Package is submitted. The eRPT user interface will also display a message to the submitter if the document is uploaded successfully. If there is any error during the upload, the user will be notified in the user interface. The user interface will also display the number of documents that were uploaded in the display message.
2.	Packages are retrieved from the eRPT application by the RPC at a defined interval. Based on the requests received by the RPC system eRPT application will send necessary response. RPC contractor can continue with their process after a Package is retrieved from the eRPT application to review all the documents and provide the required Response Documents (FDR, Error Reports etc.). ***Note***: For Category 3 and Special Submission Package, the approver will need to approve the package before it gets available to RPC.
2.a	Once the Package is retrieved by RPC, a notification is sent out to the Package submitter.
3.	RPC can now upload the Package into to the RPC system, work on the Package and send the necessary response for the Package back to the eRPT application.
3.a	Once a response document is added by RPC to a Package a notification is created and sent out to the respective Plan User.

Note: The dotted line in the eRPT Implementation Process diagram refers to the instance when a notification message will be sent to the respective user within the eRPT application.

Please review Appendix A for user rights to the user interface for the eRPT application.

2.2 Conventions

This document provides screen prints and corresponding narrative to describe how to use eRPT.

When an action is required on the part of the reader, it is indicated by a line beginning with the word “Action:” For example:

Action: Click on OK.

Fields or buttons to be acted upon are indicated in bold italics in the Action statement; links to be acted upon are indicated as links in underlined blue text in the Action statement.

Note: The term ‘user’ is used throughout this document to refer to a person who requires and/or has acquired access to the eRPT application.

2.3 Cautions & Warnings

None

3. Getting Started

The following provides an overview of how to access the system and navigate through the system.

3.1 Set-up Considerations

CMS screens are designed to be viewed at a minimum screen resolution of 800 x 600. To optimize your access to eRPT:

1) Please disable pop-up blockers prior to attempting access to eRPT.

Use Internet Explorer, version 7.0 or higher.

3.2 User Access Considerations

There are three user groups for the eRPT application.

1 The first group of users is the Plans. Plans will utilize their Individuals Authorized Access to the CMS Computer Services (IACS) ID (7 digit CMS User Id) to access the system through the Internet website provided.

2 The second and third group of users is the CMS Central Office and the Regional Office Account Managers. This group should utilize their EUA ID to access the eRPT application through the Internet or Intranet website provided.

3.3 Accessing the System

The Plans will have access to the eRPT application if they currently have access to the following roles:

- MAMA Submitter
- MAMA Representative
- MAMA Updater
- MMP User
- MCO Representative
- MAMA EPOC
- NET Representative
- Net Submitter

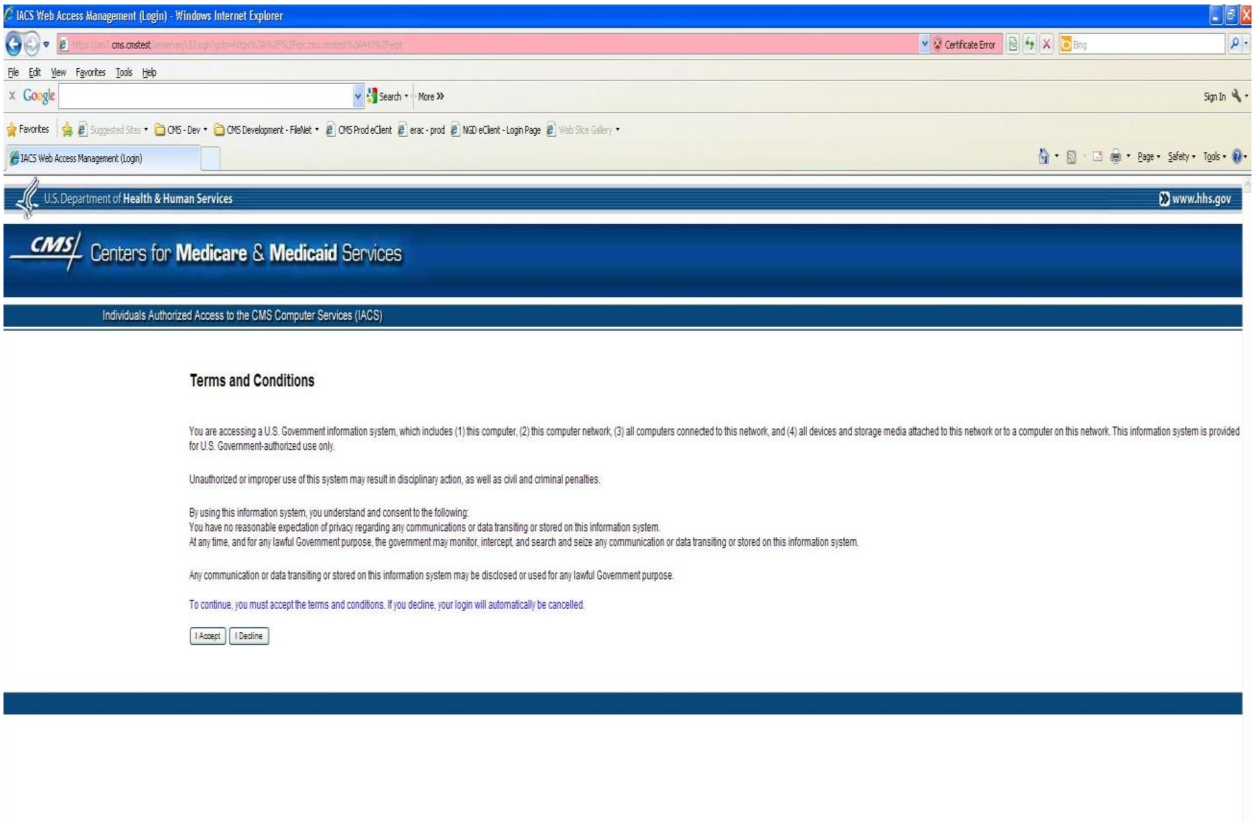
If they do not have access, they will need to request access by going into IACS and will need to select anyone of the role specified above. A user with access to more than one role specified above will also be able to access the eRPT application.

1 The eRPT application can be accessed using the following URL:

https://erpt.cms.hhs.gov/erpt/

2 Upon accessing the above mentioned URL, the following login screen will be displayed:

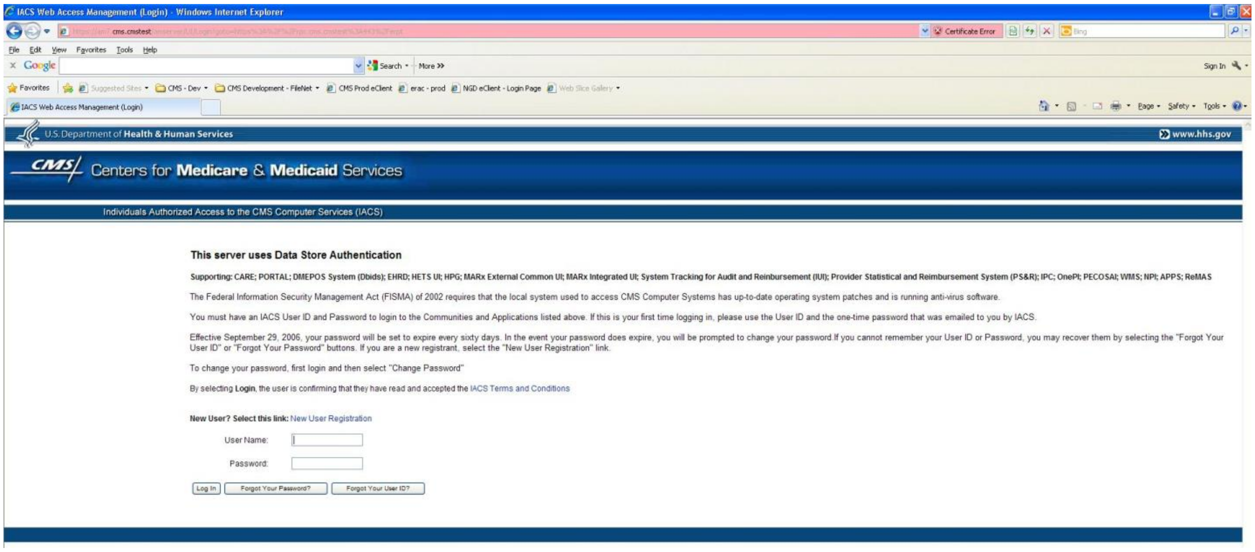
Figure 2: Terms and Conditions



3 Please read the Terms and Conditions.

4 **Action:** Select ***I Accept*** button*.* The following screen will display:

Figure 3: Login

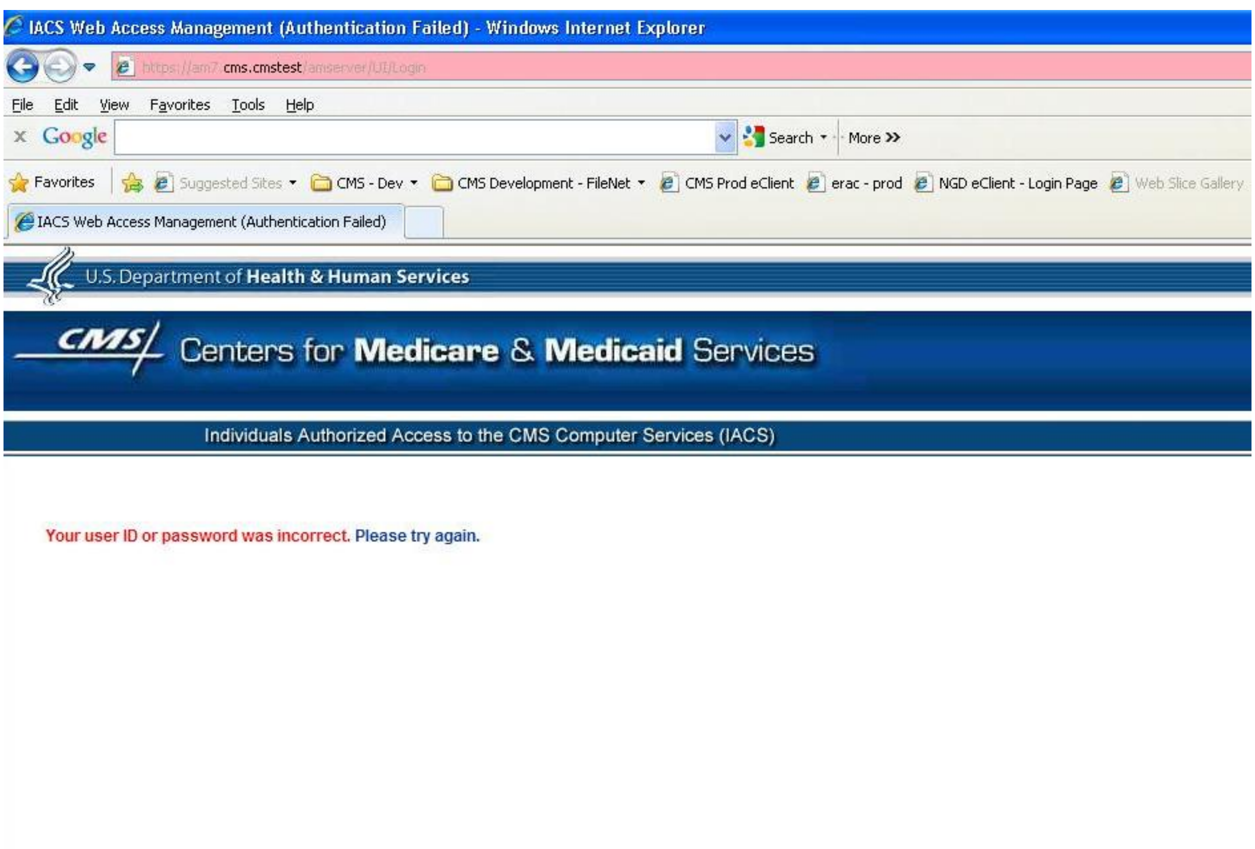


5 The user can enter his 7-digit IACS ID and password to login to the eRPT application.

6 **Action:** Select ***Log In*** *button*.

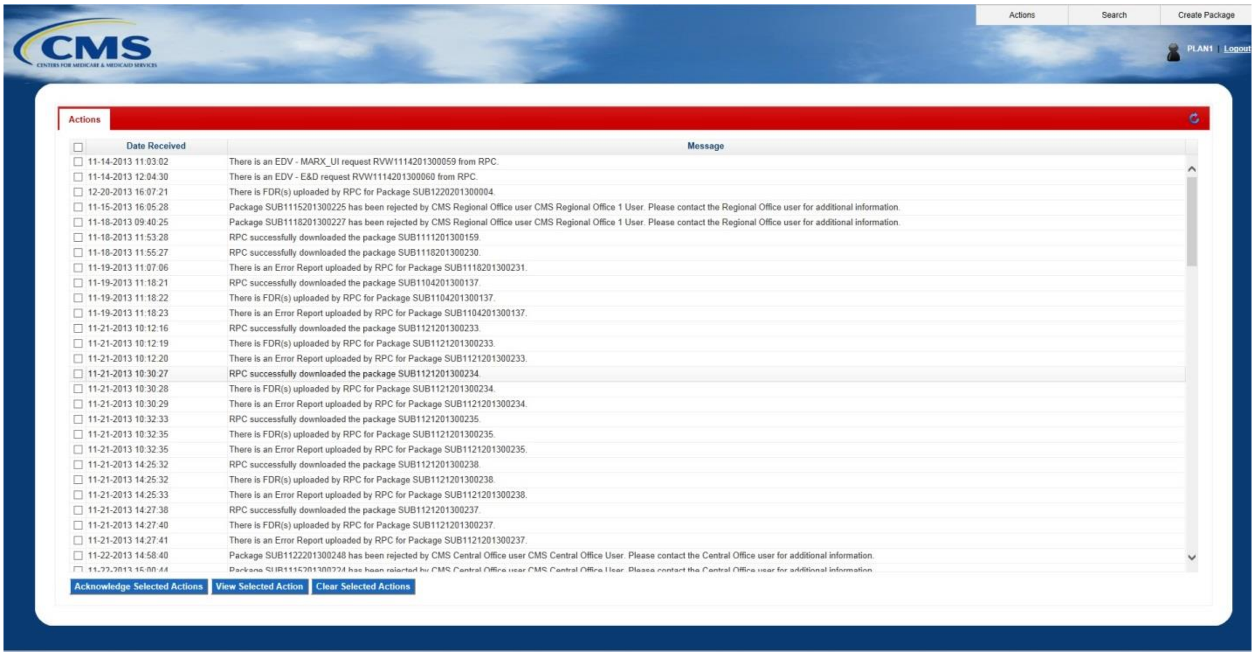
7 If the wrong credentials are entered the following screen will be displayed.

Figure 4: Incorrect Login



8 On successful login the Plan user will see the eRPT landing page.

Figure 5: Successful Login – Action List



3.4 System Organization & Navigation

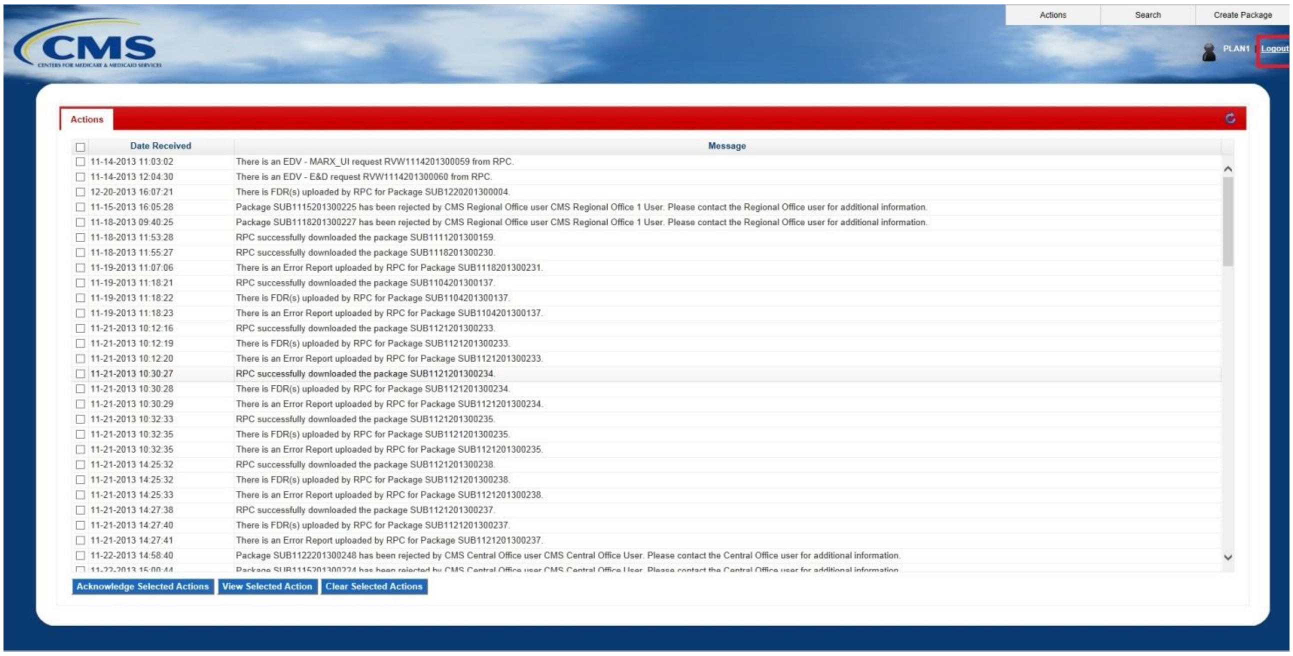
In order to navigate through the website, the user will use the menu options on the top right of the screen. These menus will allow the user to create a Package, search for Packages, and view the Actions. The menu options are specific to the user group access rights.

3.5 Exiting the System

In order to exit the system, the user will need to follow the steps specified below:

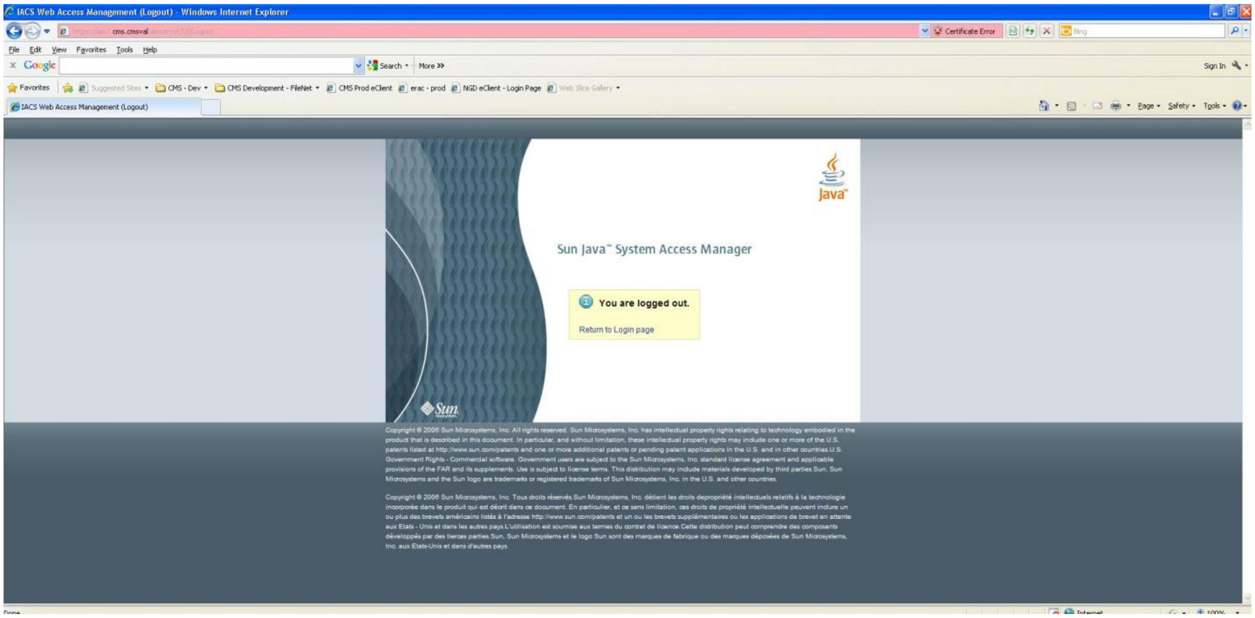
1. **Action**: Select *Logout* on the top right of the screen. See diagram below for example:

Figure 6: Exiting the System



2. On successfully logging out of the system the users will see following screen:

Figure 7: Exiting the System



Note: To login again the user will need to close the current browser and open a new browser and repeat steps in section 3.3.

4. Using the System

The following sub-sections provide details on how to use the various functions or features of the eRPT application.

4.1 eRPT Terminology

1 **Package Type** - Package classification representing the type of package submitted by the Plan for processing.

a. **Submission Package** - Retroactive enrollment-related transactions submitted by a Plan to RPC such as Enrollments, Disenrollments, Reinstatements, LIS Deeming Updates, Medicaids, SCC changes, and Payment Validation.

Note: A Submission Package should not be created to respond to an EDV Review Package.

b. **Transaction Inquiry Package** - A request submitted to the RPC by a Plan requesting a status on a previously submitted retroactive request.

c. **Review Package** - Enrollment Data Validation (EDV) requests from the RPC.

Note: All EDV packages should be responded using the Review Package created by the RPC.

2 **Category Code** - A code representing a classification of a retroactive Package type request.

a. For Submission Package types:

- **Category 2** - Timely retroactive enrollment transactions (including Payment Validation Adjustments and Caseworker Approved CTM Cases) that may be submitted to the RPC without additional RO approval. Please refer RPC's SOP on their website for the types of retroactive transactions that do not require RO Approval.

- **Category 3** - Untimely (i.e. current calendar month minus 3 months or more) or other (Special Cat 2 Cases, Guidance waivers, Documentation waivers and any other exceptions) retroactive transactions that may be submitted to the RPC requiring RO approval prior to submission. Please refer RPC's SOP on their website for the types of retroactive transactions that require RO Approval.
- **CTM** – It is a submission category used when a retroactive request is generated as a result of a complaint filed by a beneficiary or caregiver. This is a new category type for a submission package that is being implemented in this new release of the eRPT application.
- **Payment Validation** – this category is used to submit status changes such as Medicaid, Low Income Subsidy (LIS), State County Code Changes (SCC), etc.
- **Resubmission** - Timely retroactive enrollment transactions (including Payment Validation Adjustments and Caseworker Approved CTM Cases) that have been previously submitted but not processed as requested by (NPAR) by the RPC and do not require additional RO approval for processing.
- **Special** - A customized user Package submitted by the CMS Central Office Staff or Plan Users to RPC. A special submission package will need to be approved by either the CMS Central Office or Regional Office.

b. Subcategory (Applicable only for Category 3 and Special Submission Package) - A sub code representing a classification of a retroactive Submission Package type request

- LI-NET - Limited Income Newly Eligible Transition (LI-NET) program provides temporary drug coverage for certain dual Medicare/Medicaid or Supplemental Security Income (SSI) only eligible people who qualify for Medicare's low-income subsidy (LIS) or Extra Help. This program provides immediate and retroactive (if eligible) temporary drug coverage until these beneficiaries have had a chance to enroll in a regular Medicare Part D drug plan.

c. For Review Package Types:

- **Enrollment Data Validation (EDV) (this option is available only in search page)** - A request submitted by the RPC to a Plan requesting supporting documentation for enrollment related transactions processed by the Plan in MARx. This category value was used historically by RPC to create the EDV package.
- **EDV – E&D** - Reports with this value in the file name will include sampled Enrollment and Disenrollment transactions that were submitted to MARx via the batch process
  - Enrollment transactions (Transaction Type Code 61) are defined as an action that initially enrolls a beneficiary into a certain plan contract number and Plan Benefit Package (PBP) number.
  - Disenrollments (Transaction Type Code 51) Disenrollment transactions are defined as an action that terminates a beneficiary's enrollment in a given plan.

- **EDV – CANCELLATIONS** - Reports with this value in the file name will include sampled Enrollment Cancellation and Disenrollment Cancellation transactions that were submitted to MARx via the batch process
  - Enrollment Cancellations (Transaction Type Code 80) are defined as an action initiated by the beneficiary to cancel an enrollment transaction
  - Disenrollment Cancellations (Transaction Type Code 81) are defined as an action that cancels a previously submitted disenrollment, leaving no gap in coverage for the beneficiary.
- **EDV – MARX_UI** - Reports with this value in the file name will include sampled Enrollment, Disenrollment, Enrollment Cancellation, and Disenrollment Cancellation transactions that were submitted via the MARx User Interface (UI).
- **EDV – RACS** - Reports with this value in the file name will include sampled Residence Address Change (RAC) transactions that were submitted via either the MARx UI or the batch-submission process
  - RACs (Transaction Type Code 76) are updates to member's residence address listed in MARx that ultimately determines the State and County Code (SCC) used in the payment calculation.

3 **Approval Authority** (applicable only to Category 3 and Special Submission package) – The office selected by the package creator to approve the package. Following are the options:

- Central Office
- Regional Office

4 **Regional Office** (applicable only to Category 3 and Special Submission package) – The regional office overseeing the package creator's parent organization. Following are the options:

- CMS Regional Office 01 - Boston
- CMS Regional Office 02 - New York
- CMS Regional Office 03 - Philadelphia
- CMS Regional Office 04 - Atlanta
- CMS Regional Office 05 - Chicago
- CMS Regional Office 06 - Dallas
- CMS Regional Office 07 - Kansas City
- CMS Regional Office 08 - Denver
- CMS Regional Office 09 - San Francisco
- CMS Regional Office 10 - Seattle

5 **Parent Organization** - Name of the Parent Organization to which the Package or document belongs.

6 **Status** - Status of the Package. The following are the different Package status values and definitions that can be set on a Package:

- **Draft** –When a Package has been created but not yet submitted within the eRPT application.
- **Pending Approval**- When a Package is submitted by a Plan User but is awaiting an Approval Letter from the RO Account Manager or CMS Central Office. This status is applicable only for a Category 3 and Special Submission Package.
- **Open**- When a Submission Package is submitted to eRPT and ready for the RPC to download or when a Review Package is uploaded for a Plan User to respond.
- **Completed**- When a review Package is submitted by the Plan user with all of the supporting Response documents.
- **Downloading**- When the RPC is downloading the Package.
- **In Process**- When the RPC is processing the Package.
- **Closed**- When a retroactive Package processing has been completed by the RPC the Package status will be marked as closed.

7 **Contract Id** - A unique five-character alphanumeric identifier assigned by CMS.

8 **Count -** The total number of transactions by contract listed in the RPC Submission spreadsheet. The count includes all transactions across each worksheet within the spreadsheet.

9 **Package Id** - A unique system-generated identifier assigned to each retroactive Package request.

10 **Created by** – The eRPT User ID who created the Package. In this document, the user who created the Package is referred to as the ‘‘Package Creator’’.

11 **Proxy Id** – A list of persons authorized to act on behalf of an eRPT plan user responsible for creating and submitting a retroactive plan submission package.

4.2 eRPT User Interface Menu

On a successful login to eRPT, the user can see the following menu options based on their access:

4.2.1 Search

On the Search Package screen, the users can search for Packages and documents in eRPT. Depending on the type of user logging into the eRPT there are restrictions on the Packages and document that can be retrieved and viewed by the user.

Users with Plan access will be able to view the following:

- The Packages that have been created by them, or packages where they are included as proxy.
- Response documents (For example: Final Disposition Reports (FDRs), Error Report) for their respective contracts.
- Review Packages for their respective contracts.

The drop-down selection lists and free-form data entry fields allow the user to make selections that will customize their returned results in the Results grid.

The search screen provides the user with following search criteria and options:

1 **Search For**:

Packages-

- Submission Packages
- Transaction Inquiry Packages
- Review Packages (e.g. EDV Review)

Response Documents-

- FDR
- Error Reports
- Letters
  - Approval Letter
- Follow-on FDR

2 Date:

- This is a mandatory entry field and should be used by the user to select the date range in which the Package was saved or submitted. The search will automatically look for the dates based on the Package status. If the user is searching for a draft or Pending RO Approval Package, the eRPT application will look for Packages based on the Package's creation date. If the user is searching for a submitted Package, (with a status of Open or Closed or Rejected or In Process or Downloading) the eRPT application will look for Packages based on the Package submitted date.
  - **From-**
  - **To-**

3 **Package ID**:

- If the user knows the specific ID of the Package they are trying to find they should enter it free-form.

4 **Category:**

- The category code values are dynamically populated based on the Search-For selection made by the user as shown below:
  - **a. Submission Package**
    - Category 2
    - Category 3
    - CTM
    - Payment Validation
    - Resubmission
    - Special
  - **b. Review Package**
    - Enrollment Data Validation
    - EDV – E&D
    - EDV – CANCELLATIONS
    - EDV – MARX_UI
    - EDV - RACS

5 **Status**:

- It is a dropdown containing Package status values. The status values are dynamically populated based on Search-For and Category selection made by the user as shown below. (Please refer section 4.1 or section 4.3.8 for status description)

a. **Submission Package - Category 2, Resubmission, CTM and Payment Validation**
    - Draft
    - Open
    - Downloading
    - In Process
    - Closed

b. **Submission Package - Category 3 and Special**
    - Draft
    - Pending Approval
    - Open
    - Rejected
    - Downloading
    - In Process
    - Closed

c. **Transaction Inquiry Package**
    - Draft
    - Open
    - Downloading
    - In Process
    - Closed

d. **Review Package**
    - Open
    - Completed
    - In Process
    - Downloading
    - Closed

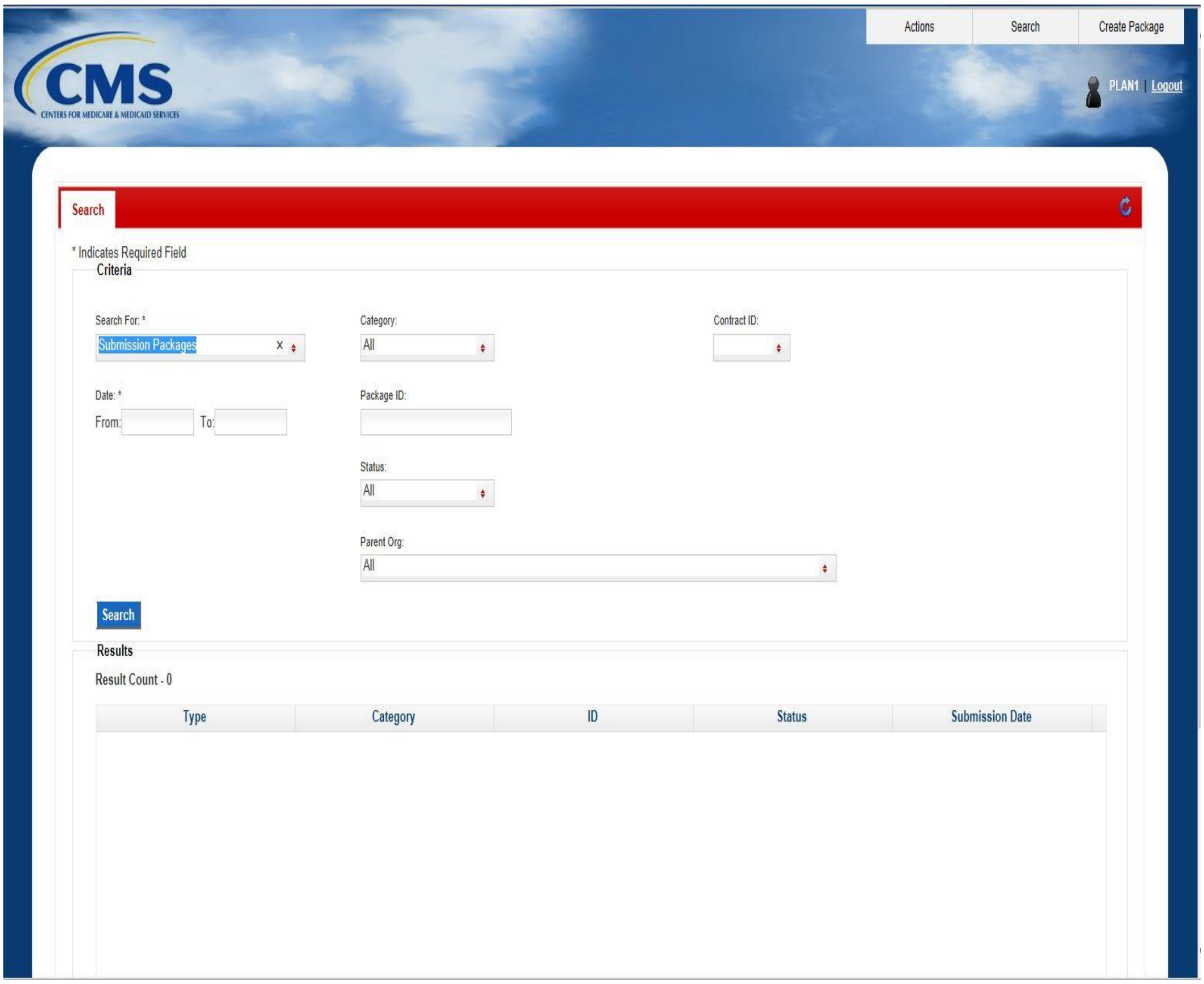
6 **Parent Organization**:

- All Plan Parent Organizations will be listed.
  Note: If your Parent Organization is not available in the drop-down please contact the MAPD Help Desk.

7 **Contract Id**:

- If the user knows the specific contract ID they are trying to find they should enter it free-form. This field is applicable only for Response documents.

Figure 8: Search



4.2.2 Create a Package

In eRPT, the Plan user can use the Create-Package screen to create the following types of Package:

- Submission Package
- Transaction Inquiry Package

The term 'Package' refers to a request submitted by Medicare Managed Care or Prescription Drug Plans for RPC to process. A Package within the eRPT application will consist of 3 main parts:

- **Package Details** - Information about the Package such as Package Type, Category, Parent Organization etc.
- **Submission Documents**

  - **For Submission & Transaction Inquiry Package** - All of the supporting documents that are required by the RPC to process the Package. (see the RPC website for details)
  - **For Review Package** - All the supporting documents that are submitted by RPC for the review. (see the RPC website for details)
- **Response Documents**
  - **For Submission & Transaction Inquiry Package** - Documents that are added by the RPC after processing the Package.
  - **For Review Package** - Supporting documents that are submitted by Plans for the Enrollment Data Validation (EDV) review request.

Each of the Packages created within the eRPT application will be assigned a unique identifier called a Package ID. The supporting documentation required for a Package will vary, depending on the type and category of the Package. A user will need to upload all the required documents to a Package for successful submission of the Package to the eRPT application. Appendix D lists all the document types that are required to submit a Package.

The Packages created in the eRPT application will follow different workflows based on the Package Type and Category Type.

4.2.2.1 General Workflow

A Submission (Category 2, CTM, Payment Validation and Resubmission) or Transaction Inquiry Package follows the general workflow. The following are the steps:

- The Package is created and submitted by a Plan user or CMS user.
- The Package is downloaded by the RPC.
- The Package creator will receive a notification about Package being downloaded by the RPC.
- The RPC will begin adding FDRs and Error Reports to the Package for a particular Plan Contract.
- The respective Plan user or Package Creator will receive a Notification in their eRPT account, so it is important that these individuals check their accounts regularly.
- When the RPC completes processing the Package they will mark the Package status as *Closed*.

4.2.2.2 Submission -Category 3 and Special Package workflow

A Submission Package (Category 3 and Special) follows a slightly different workflow and requires action from the RO Account Manager or CMS Central Office upon Package submission by Plan User. Following are the steps:

- The Submission -Category 3 or Special Package is created and submitted by the package creator.
- If the package is a LI-NET submission, the package creator is required to select the Subcategory value.

- For a LI-NET submission, the package creator is not required to select the approval authority.
- If the package is not a LI-NET submission, the package creator is required to select the approving authority (Central Office or Regional Office) and Regional Office number.
- The Package is searched by RO Account Manager or CMS Central Office or accessed via actions to add the Approval Letter or Reject the Package.
- If RO Account Managers or CMS Central Office ***adds the Approval Letter*** the workflow steps are as shown below:
  - The Package is downloaded by the RPC.
  - The Package creator will receive a Notification about Package being downloaded by the RPC.
  - The RPC will begin adding FDRs and Error Reports to the Package for a particular Plan Contract.
  - The respective Plan user will receive a Notification in their eRPT account and an email notification..
  - When the RPC completes processing the Package they will mark the Package status as *Closed*.
- If RO Account Manager or CMS Central Office ***rejects*** the Package the workflow steps are shown below:
  - The approver will be required to add the rejection notes to reject the package.
  - The Package creator receives the Notification in their eRPT account.
  - The Package creator will need to create a new Package.

The LI-NET submission will be approved by the Central Office.

4.2.2.3 Review Package Workflow

A Review Package is a Package created by either a CMS User or the RPC requesting Plan users to provide additional information to perform a review of previously submitted transactions by a Plan to ensure they comply with CMS Guidelines. Review Packages include EDV Reviews, as designated by CMS. Unlike the Submission Package and Transaction Inquiry Package the Review Package follows a different process. Following are the steps:

- The RPC or CMS User creates a Review Package for a particular Plan Contract and transaction type.
- Action/Notification is sent to the respective users in their eRPT account, who have access to the contract.
- The Plan user views the notification.
- The Plan user responds to the Package by providing all the required Response documents within seven business days of the request.
- The Plan user submits a response to the Review Package.
- The RPC will download and process the Package.
- When the RPC completes processing, the Package will be marked as Closed.

Note: A Submission Package should not be created to respond to an EDV Review Package. All EDV packages should be responded using the Review Package created by the RPC.

4.3 Plan User Functions

In eRPT, a Plan user will be able to create, view, update, delete a draft package, track and respond to Review Packages. A Plan user will also be able to view Response documents that are added to the Package by the RPC.

The following are the types of Packages that can be created by a Plan User via the User Interface:

- Submission Package
  - Category 2
  - Category 3
  - CTM
  - Payment Validation
  - Resubmission
  - Special
- Transaction Inquiry Package

In following sub sections, we will discuss the steps to:

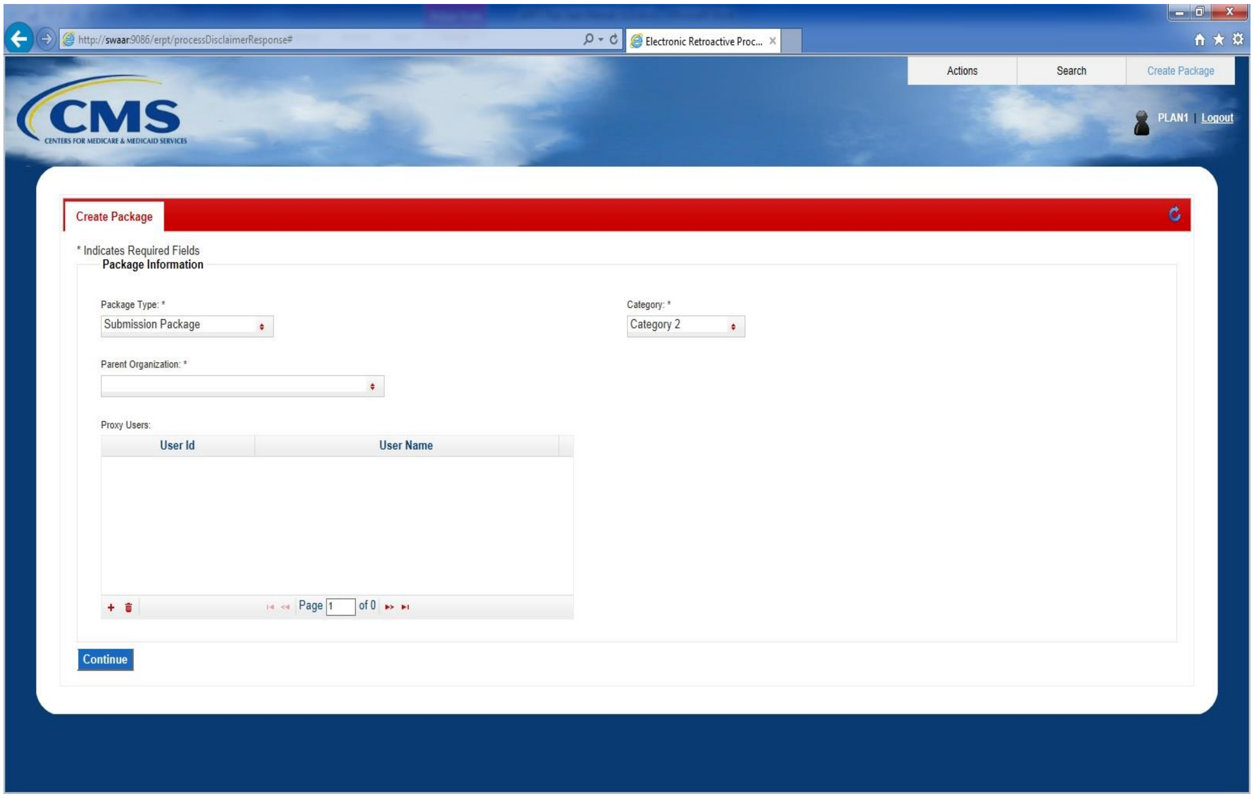
- Create Package - Submission Package
- Create Package - Transaction Inquiry Package
- Search a Package
- View a Package
- Update a Package
- Delete a Draft Package
- Tracking a Package
- View Response Documents added by the RPC via Actions
- Search & View Documents
- Add Response Documents to Review Package

4.3.1 Create Package - Submission Package

Note: An Enrollment Data Validation Review package should not responded by creating a Submission Package. Please refer to section 4.3.11.3 to respond to an Enrollment Data Validation Review package.

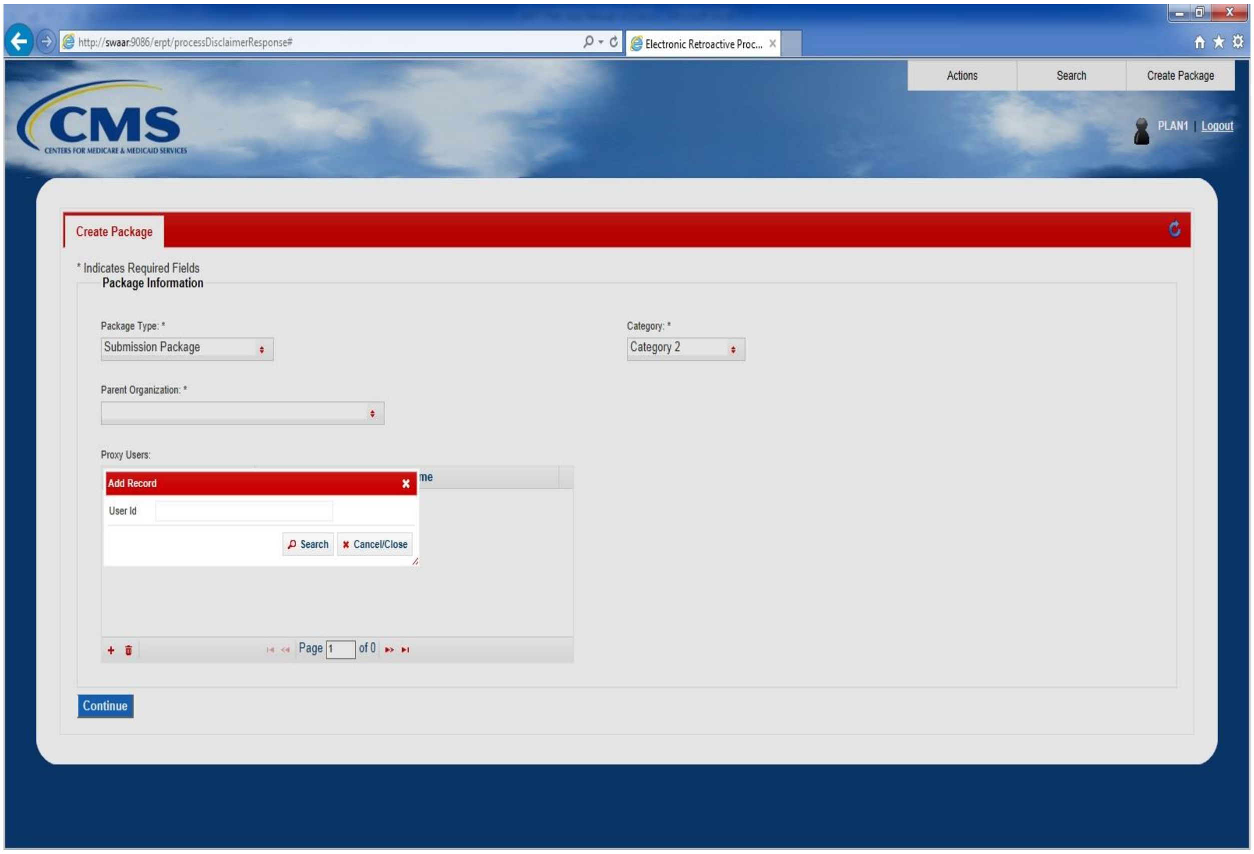
1. Login to the eRPT application.
2. **Action**: Select ***Create Package***.

Figure 9: Create Package - Submission Package



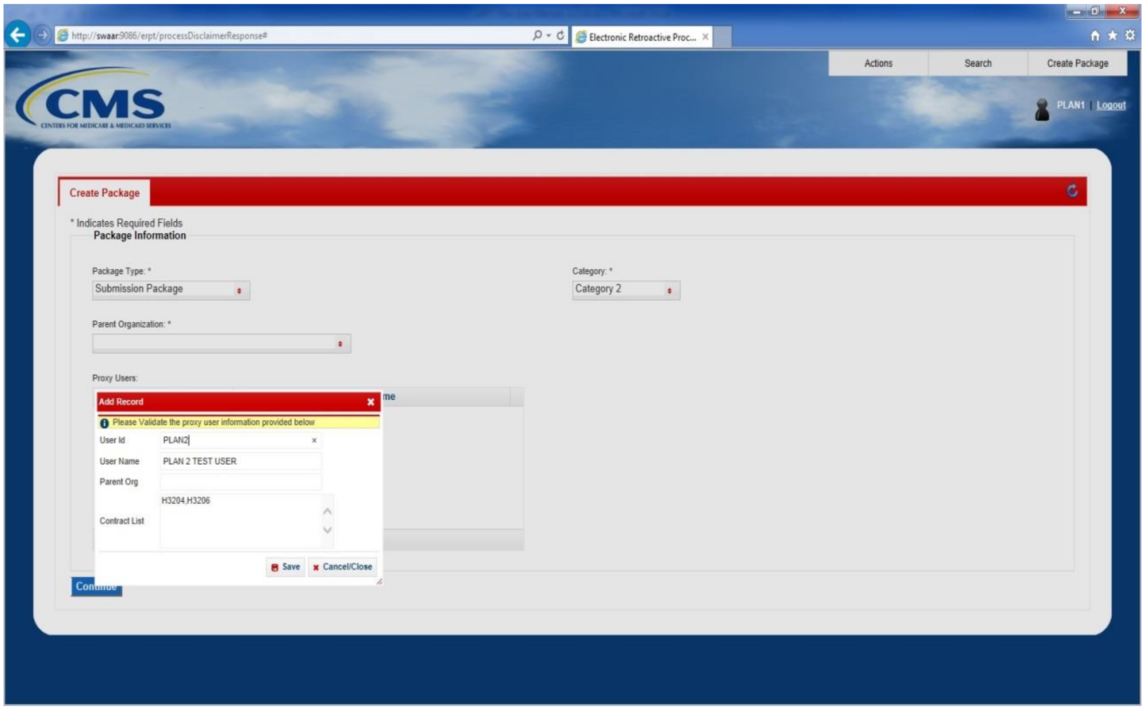
3. This screen allows the user to enter details for the Submission Package.
    a. **Package Type**:
        i. Submission Package
    b. **Category** – Select the respective category code from the dropdown.
    c. **Approval Authority** (applicable only to Category 3 n Special) – Select a value from the drop down.
    d. **Regional Office** (applicable only to Category 3 n Special) – Select a value from the drop down.
    e. **Parent Organization**: (multiple organization selection list)
    f. **Proxy Users** - optional field
        i. User Id – Search for the user that you want to be a proxy
        ii. User Name - Enter the number of transactions.
4. **Action:** To add proxy information select the **+** sign in the contract grid and pop-up window will appear as shown below:

Figure 10: Create Package - Submission Package



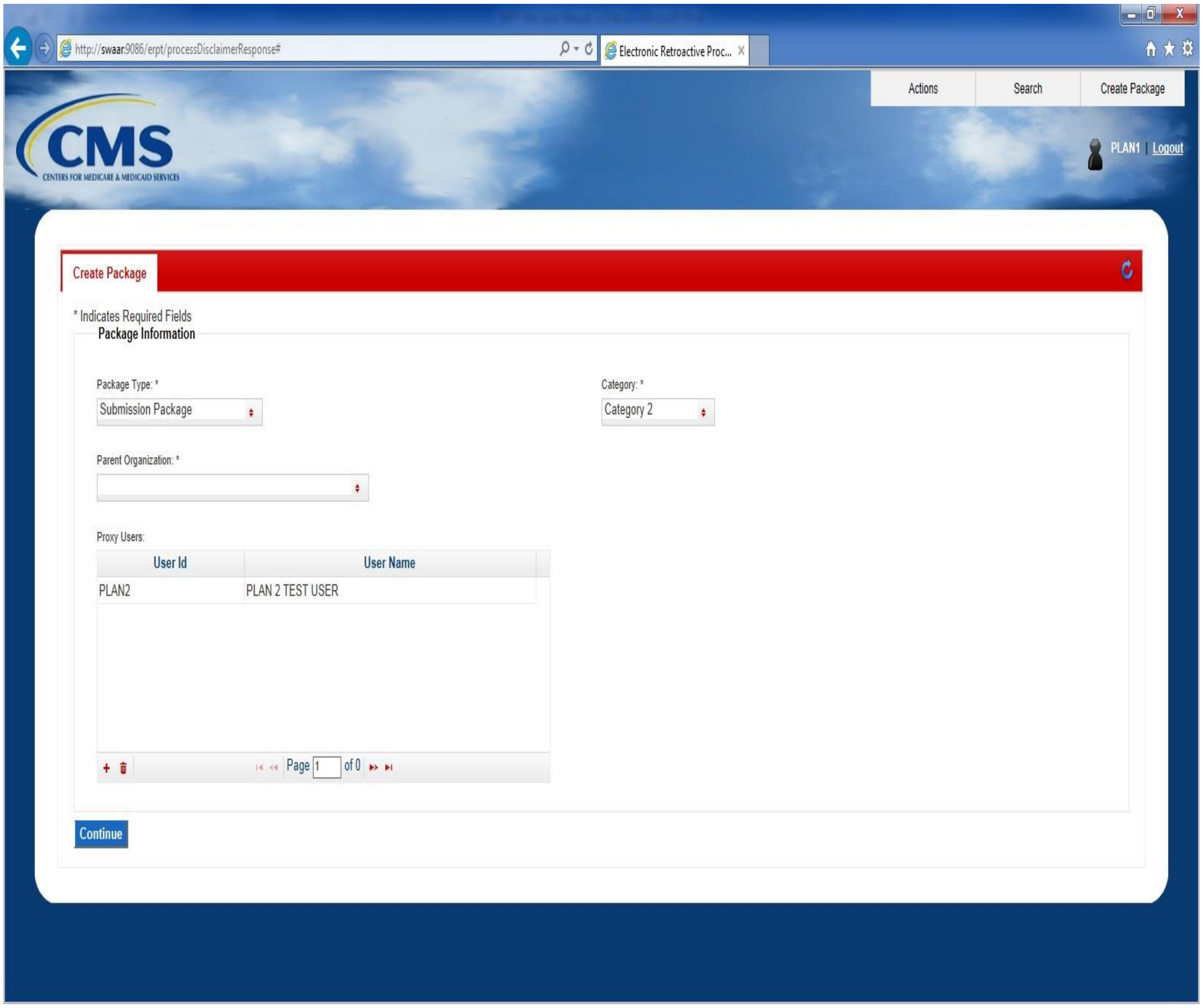
5. **Action**: The Plan user will have to enter the User ID of the designated proxy, and click on the ***search*** button. The result will be displayed as shown below:

Figure 11: Create Package - Submission Package



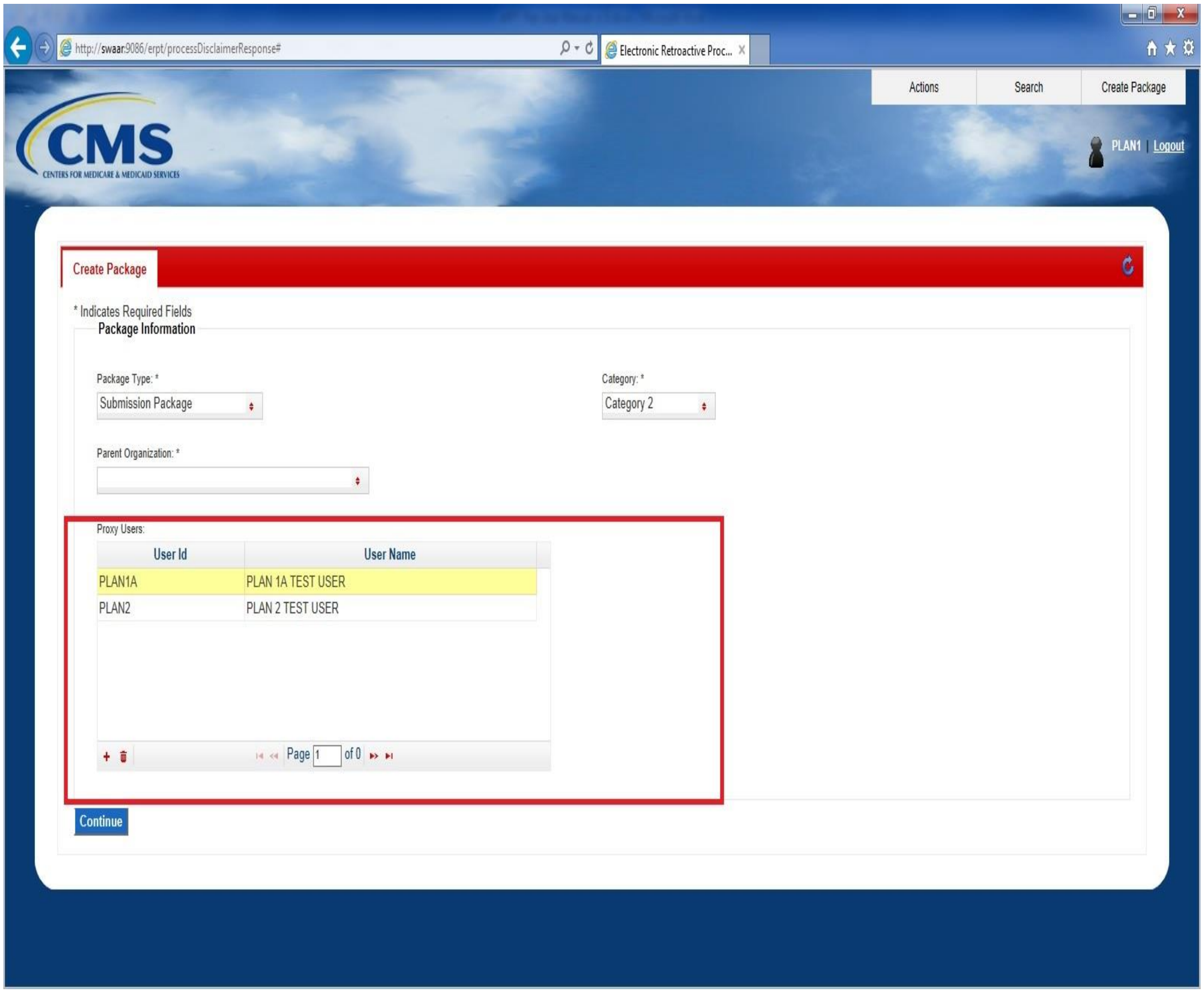
6. **Action**: Select ***Save*** button.
7. The proxy information will be added in the Proxy Users grid as shown below:

Figure 12: Create Package - Submission Package



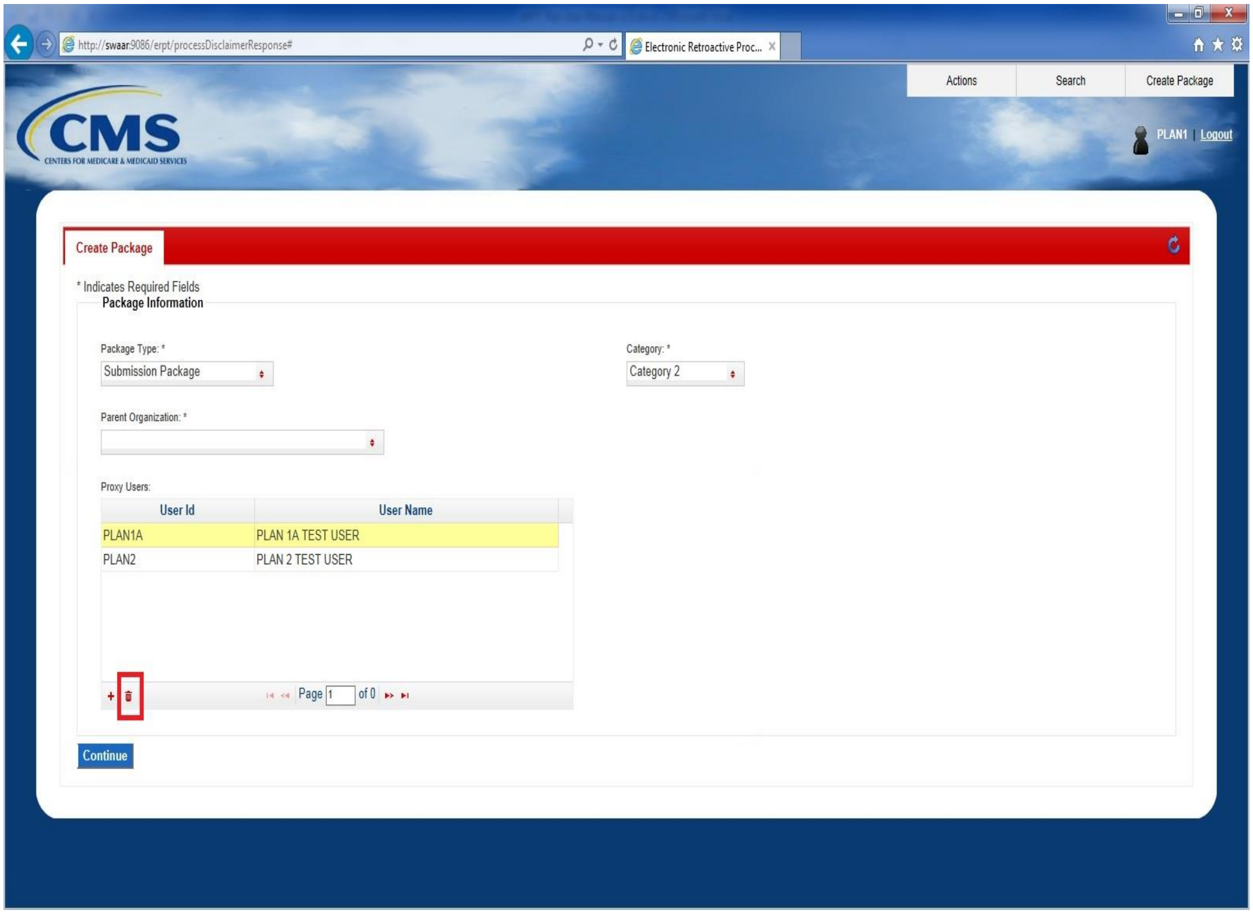
8. **Action:** Repeat steps 4 to 7 to add additional proxy users. The user can enter 3 proxy users per package.
9. **Action**: After entering all the proxy information select ***Cancel*** or select ***x*** on the Add Record pop-up.
10. **Action:** To delete any proxy information added in the proxy users grid complete the following steps-
    a. **Action**: Select the Proxy row in the proxy user grid. The selected proxy user will be highlighted as shown below:

Figure 13: Create Package - Submission Package



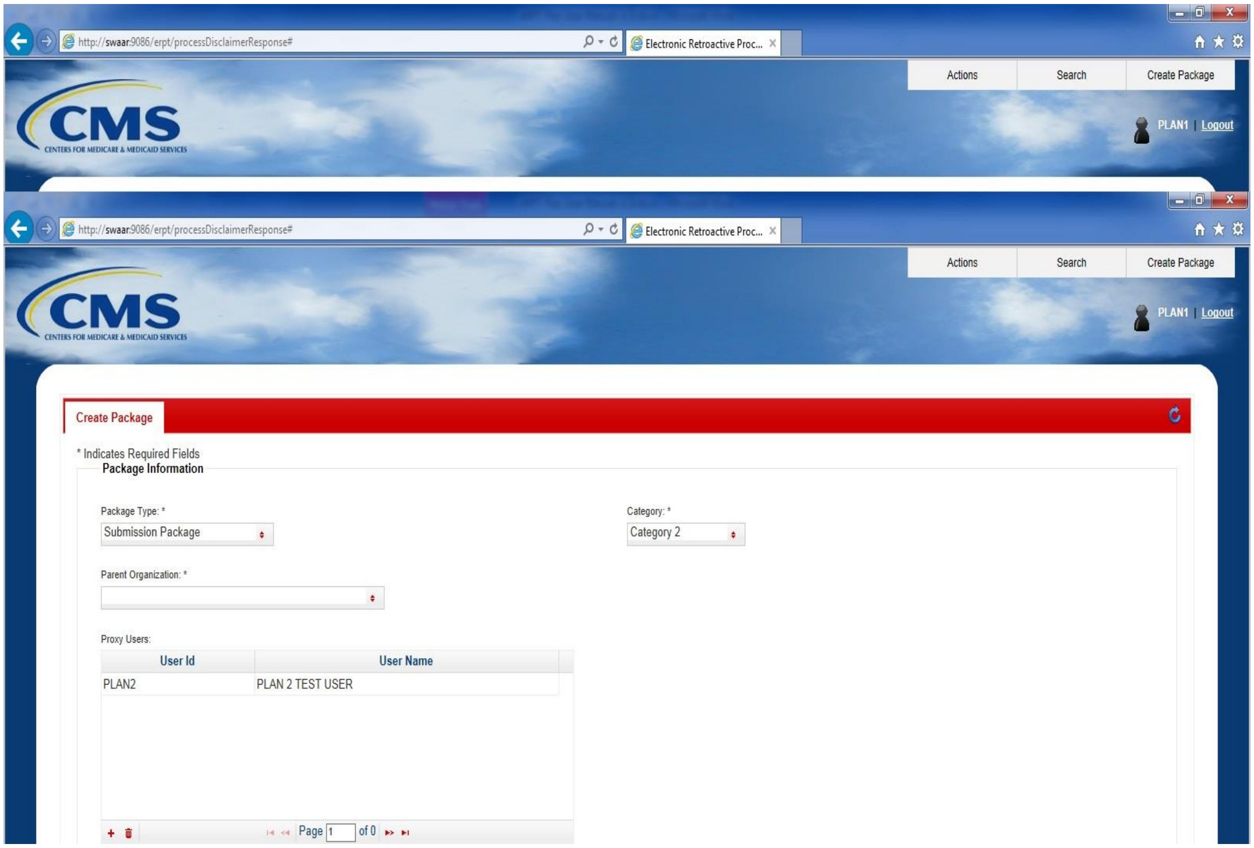
b. **Action**: Select delete sign as shown below:

Figure 14: Create Package - Submission Package



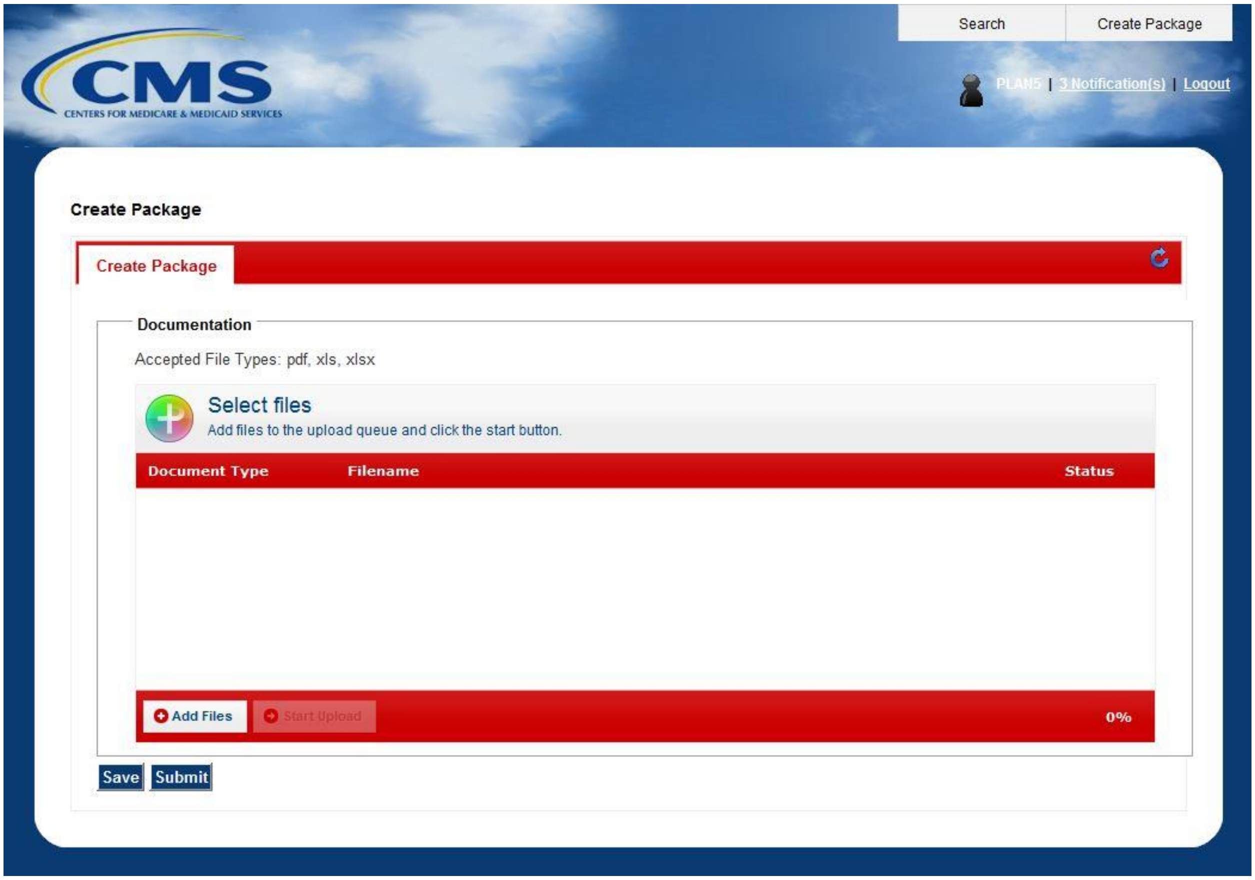
c. **Action:** Click on the Delete button
d. The proxy user will be deleted as shown below:

Figure 15: Create Package - Submission Package



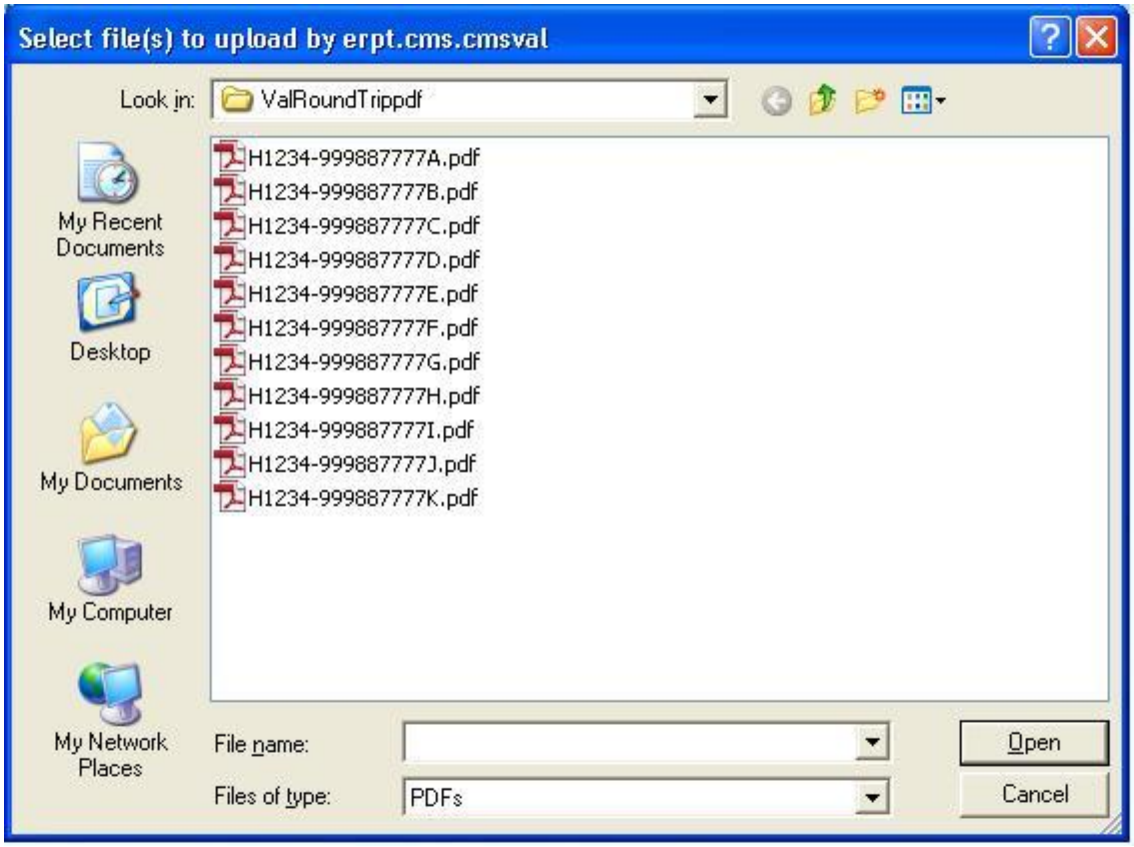
11. **Action**: After entering all the information required for the Package creation select ***Continue***.
12. Documentation screen will be displayed as shown below. The user can select add documents to a Package using the options available in Documentation screen:

Figure 16: Create Package - Submission Package



13. **Action**: Select ***Add Files*.** Windows Explorer pop-up window will be displayed for the user to select the documents as shown below:

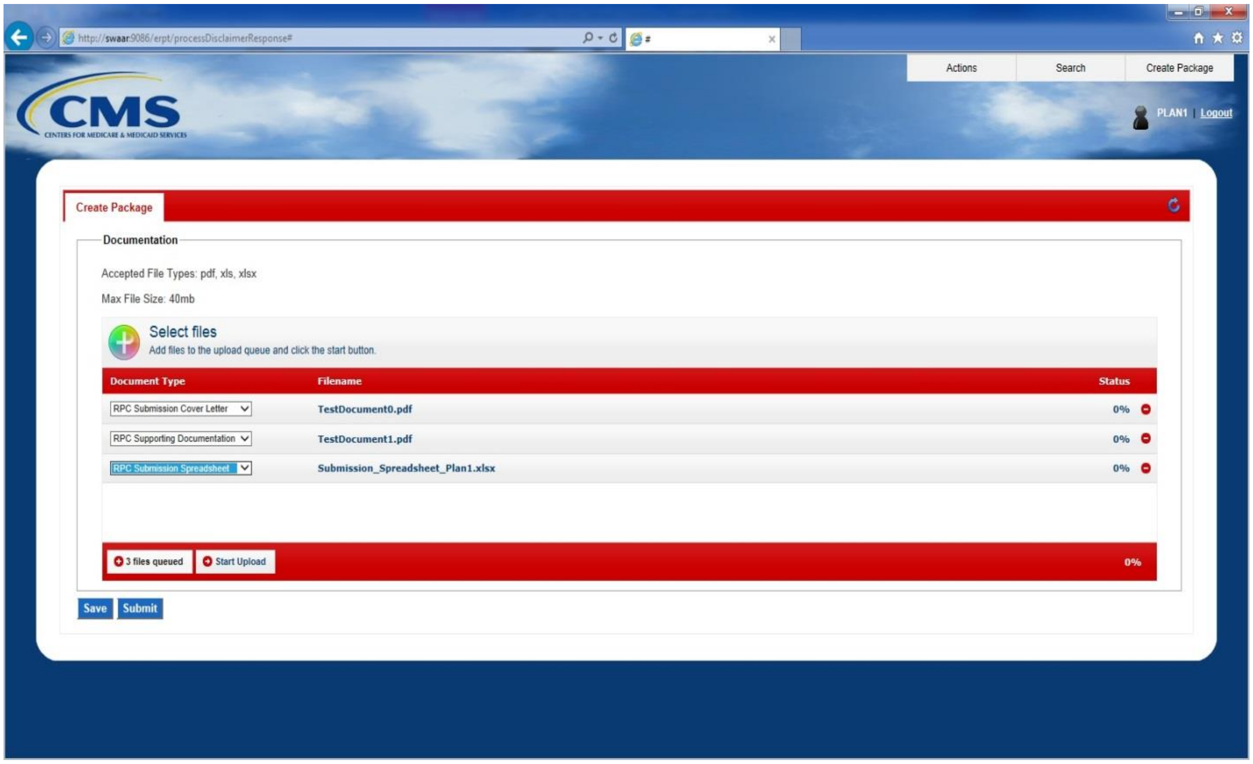
Figure 17: Create Package - Submission Package



Note: Refer RPC website for the file naming conventions.

14. **Action**: Select the files you want to add for the document and select ***Save***. The selected document will display in the user interface:

Figure 18: Create Package - Submission Package



15. **Action**: Select the appropriate ***Document Type*** value from the dropdown for each document. *Please refer* Table 9 *to view the appropriate document type values for the documents.* The default document type value for all the documents will be '**RPC Supporting Documentation**' when creating a Submission Package.

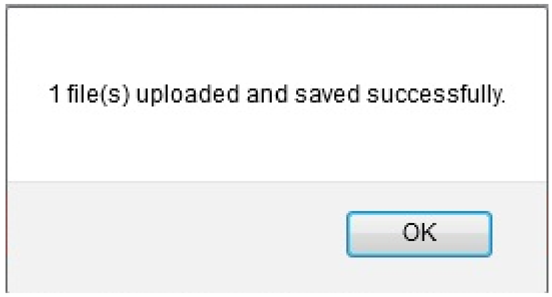
Note: The default document type value will vary based on the Package type and also the step in the process.

16. **Action:** Select ***Start Upload***.
17. **Action:** The user must upload at least one document for each of the following document types for successful submission of the Package:
    - RPC Submission Cover Letter (PDF File).
    - RPC Submission Spreadsheet (xls or xlsx File).
    - RPC Supporting Documentation (PDF File(s)).

Note: The format ".xlsm" is not supported by the eRPT. Please refer to section 4.5 for steps to convert xlsm format document.

18. On successful upload the user interface will display the following message:

Figure 19: Create Package - Submission Package



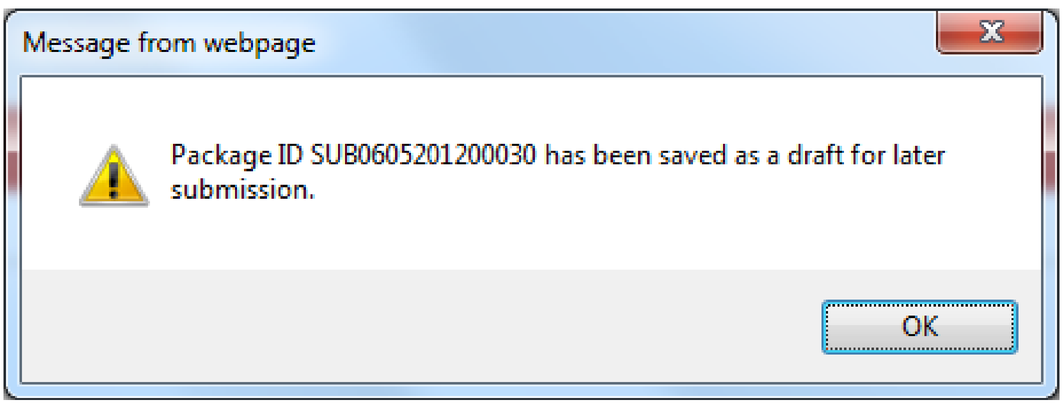
Note: Acceptable file types for uploading are PDF, XLS and XLSX.

19. **Action**: Select ***Ok***.
20. **Action:** The user can either 'Save' the Package or 'Submit' the Package by selecting the respective button.

Note: The user will not need to upload any documents to save the Package.

21. **Action**: To save a Package click on the ***Save*** button. The user will see the following message:

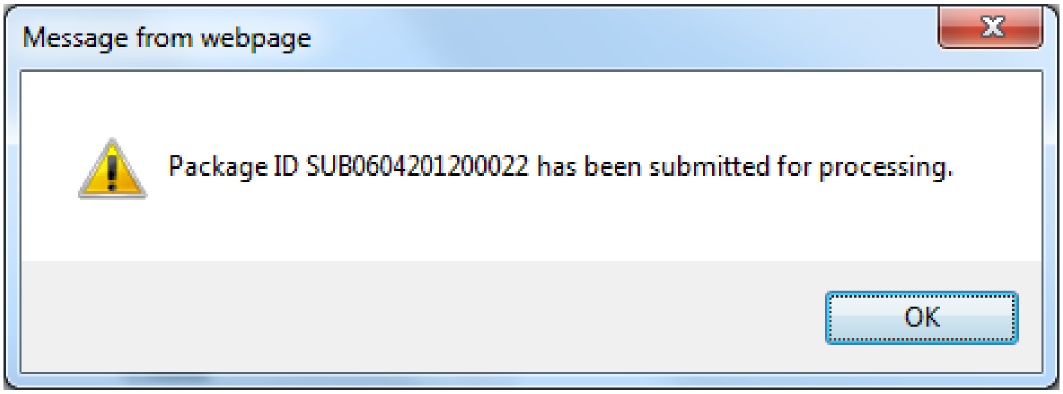
Figure 20: Create Package - Submission Package



Note: A saved Package can be retrieved on the Search screen by searching for Packages with 'Draft' status.

22. **Action**: Select ***Ok.***
23. **Action**: To submit a Package click ***Submit*** button. The user will then see the following message:

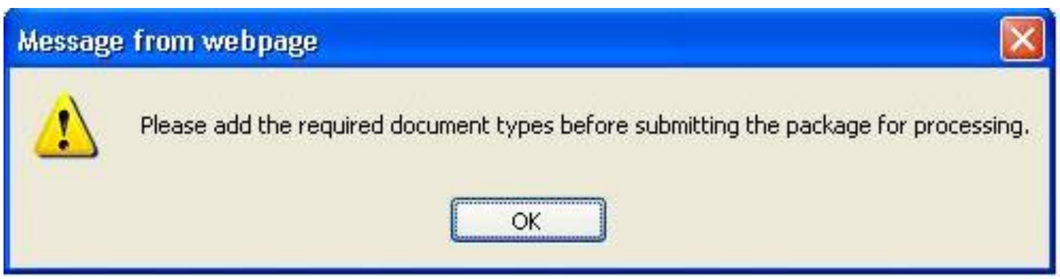
Figure 21: Create Package - Submission Package



Note: A submitted Package can be retrieved on the Search screen by searching for Packages with an 'Open' status.

24. **Action**: Select ***OK.***
25. If the user has not added all the required documents for the Package before submitting the Package the following pop-up will be displayed:

Figure 22: Create Package - Submission Package



26. **Action**: Select ***Ok.*** Repeat steps 13 through 16 to add the required documents and then submit the Package.

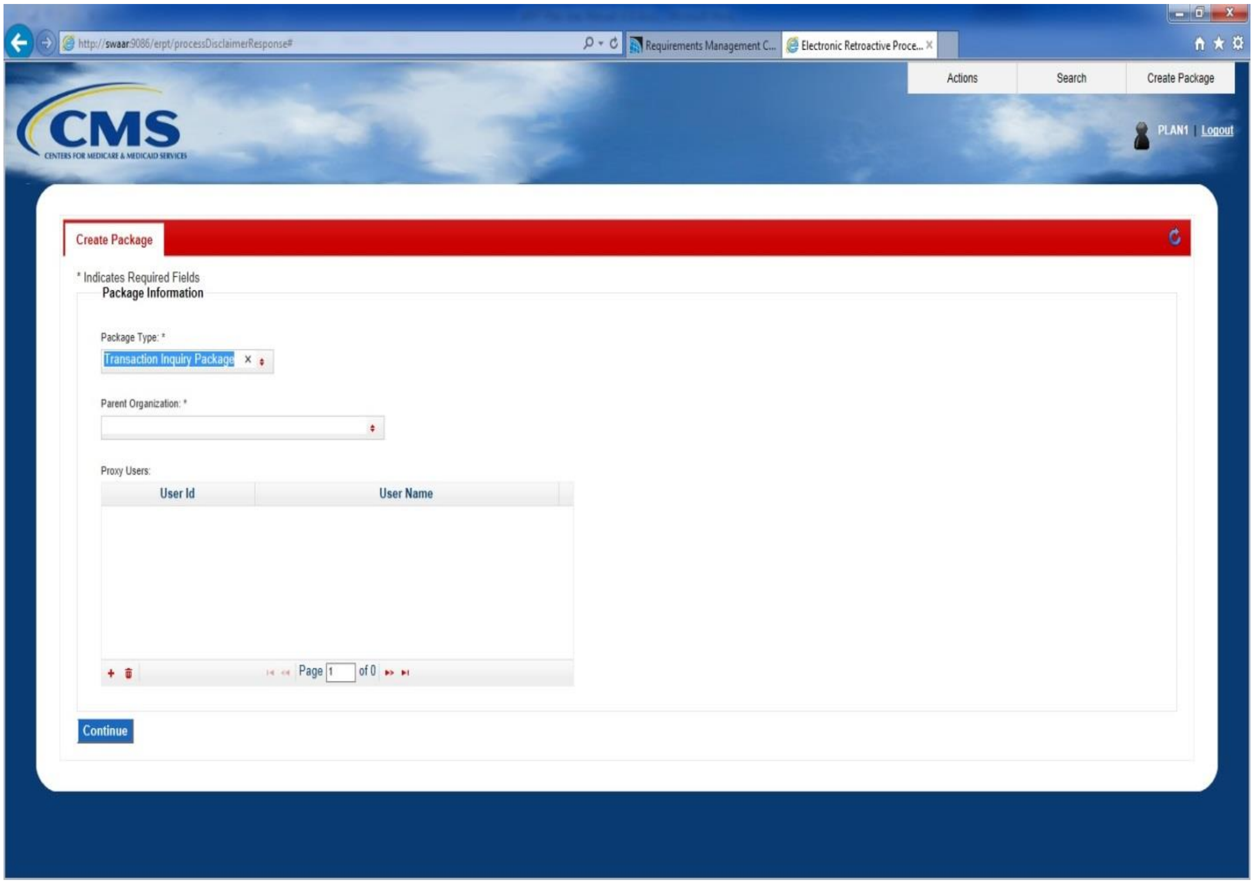
4.3.2 Create Package- Transaction Inquiry Package

Note: An Enrollment Data Validation Review package should not responded by creating a Submission Package. Please refer section [4.3.11.3](#) to respond to an Enrollment Data Validation Review package.

1 Login to the eRPT application.
2 **Action**: Select ***Create Package***.
3 This screen allows the user to enter details for the Transaction Inquiry Package.
   a. ***Package Type*** - Select Transaction Inquiry from the drop down.
   b. ***Parent Organization***: Select the Parent organization to which the Package belongs.
   c. ***Proxy Users***: - optional field
      i. User Id – Search for the user that you want to be a proxy
      ii. User Name - Enter the number of transactions.

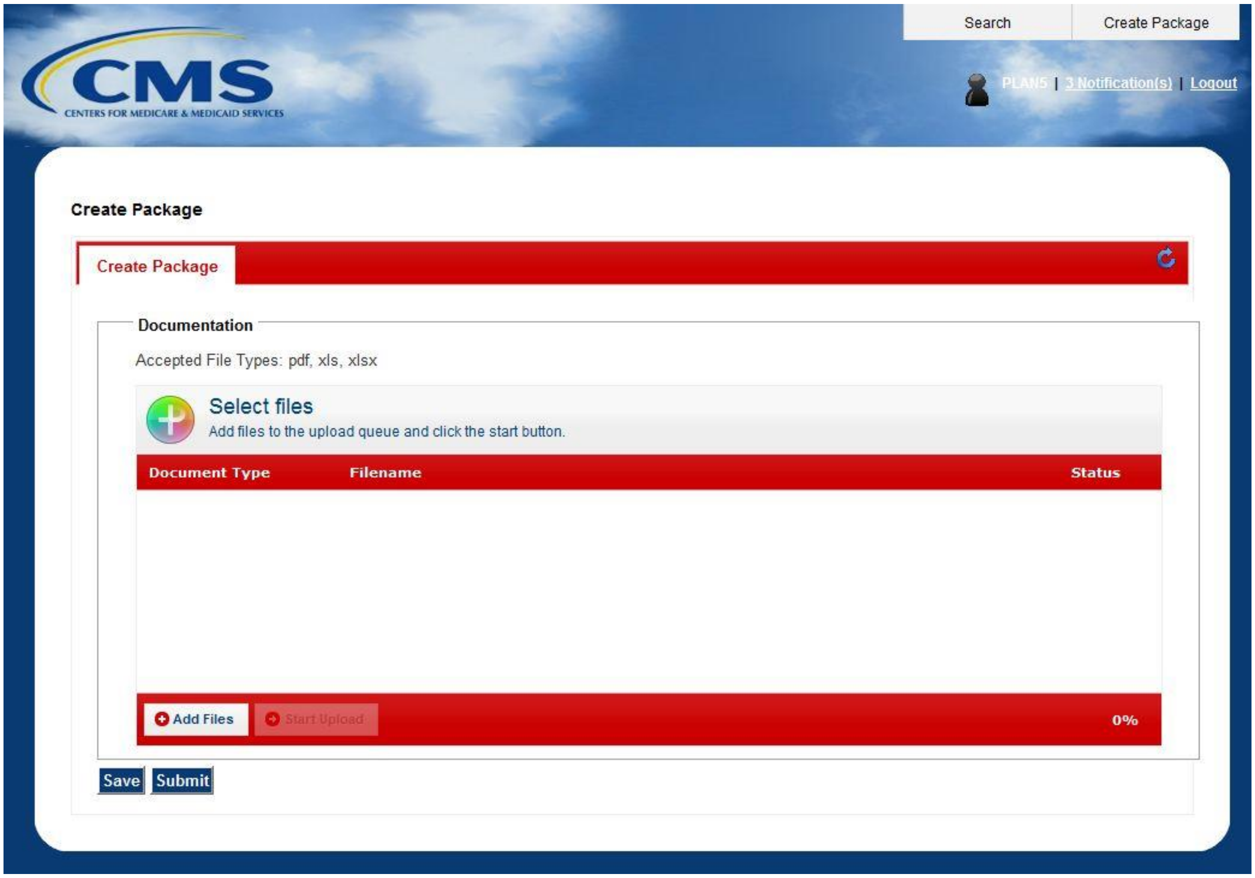
Note: If the user's Parent Organization does not display, please contact the MAPD Help Desk at mapdhelp@cms.hhs.gov or 1-800-927-8069 to create a ticket.

Figure 23: Create Package - Transaction Inquiry



4 To enter Proxy Users for the package, follow the same steps as described in the Create Package – Submission Package in Section 4.3.1.
5 **Action**: After entering all the information required for the Package select ***Continue***.
6 Documentation screen will be displayed as shown below. The user can add supporting documents to a Package using the options available on the Documentation screen:

Figure 24: Create Package - Transaction Inquiry

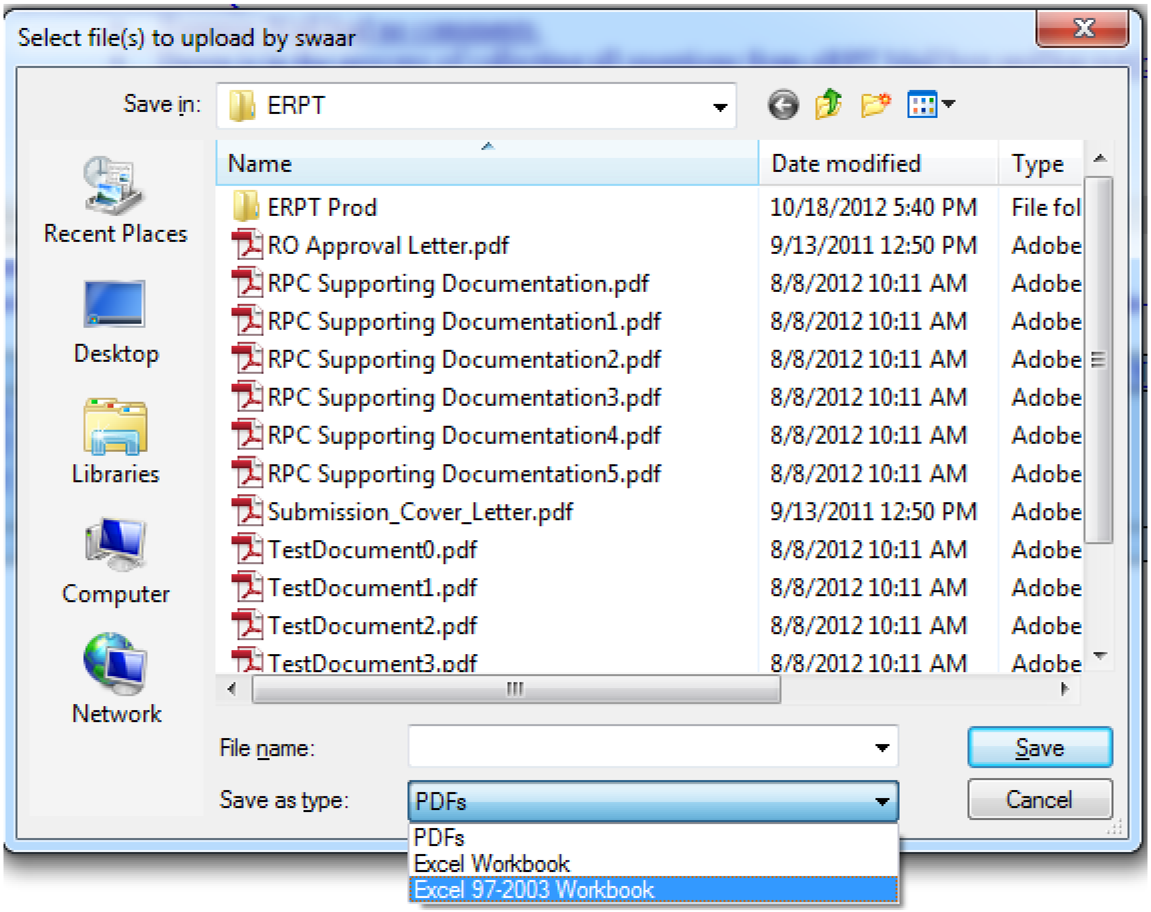


7 **Action**: Select ***Add Files*.** Windows Explorer pop-up window will be displayed for the user to select the documents as shown below:

8 If the user wants to upload xls documents select Excel 97-2003 Workbook from Save-as-Type dropdown as shown below:

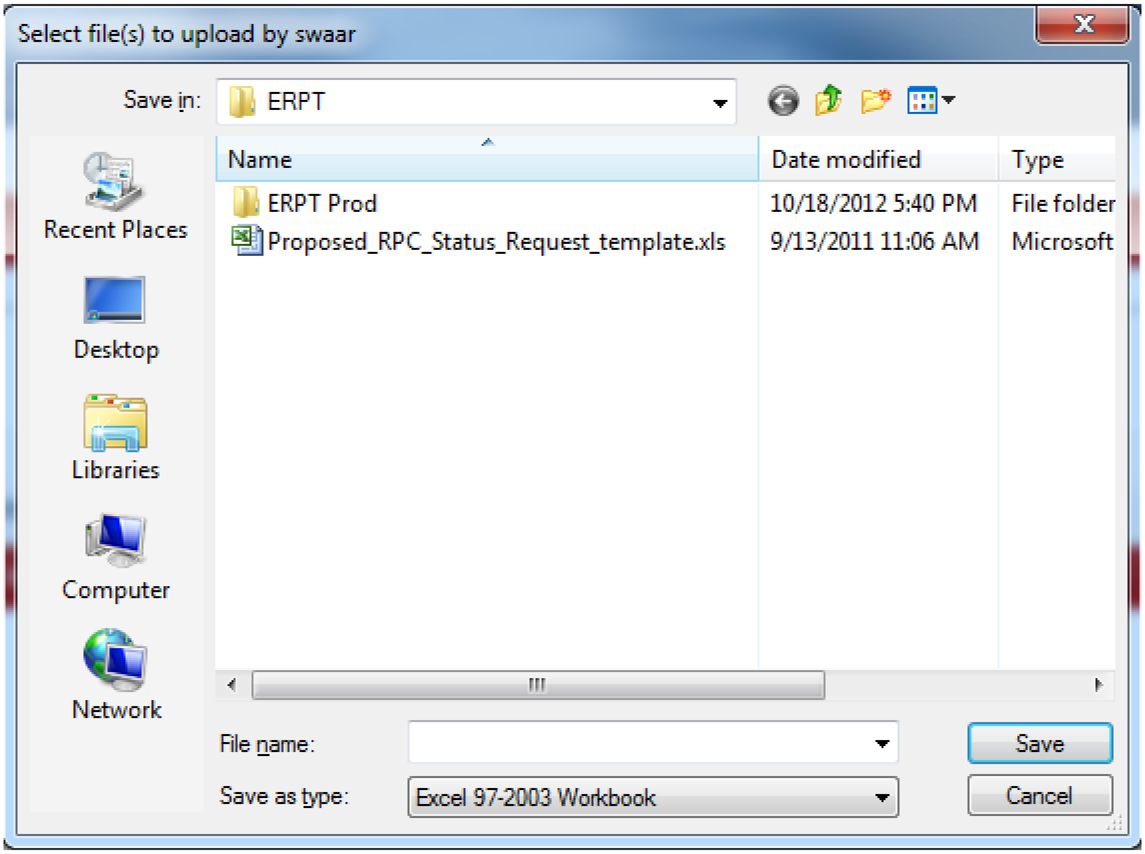
Note: If the user wants to upload 'xlsx' documents select Excel Workbook from Save-as-Type dropdown.

Figure 25: Create Package - Transaction Inquiry



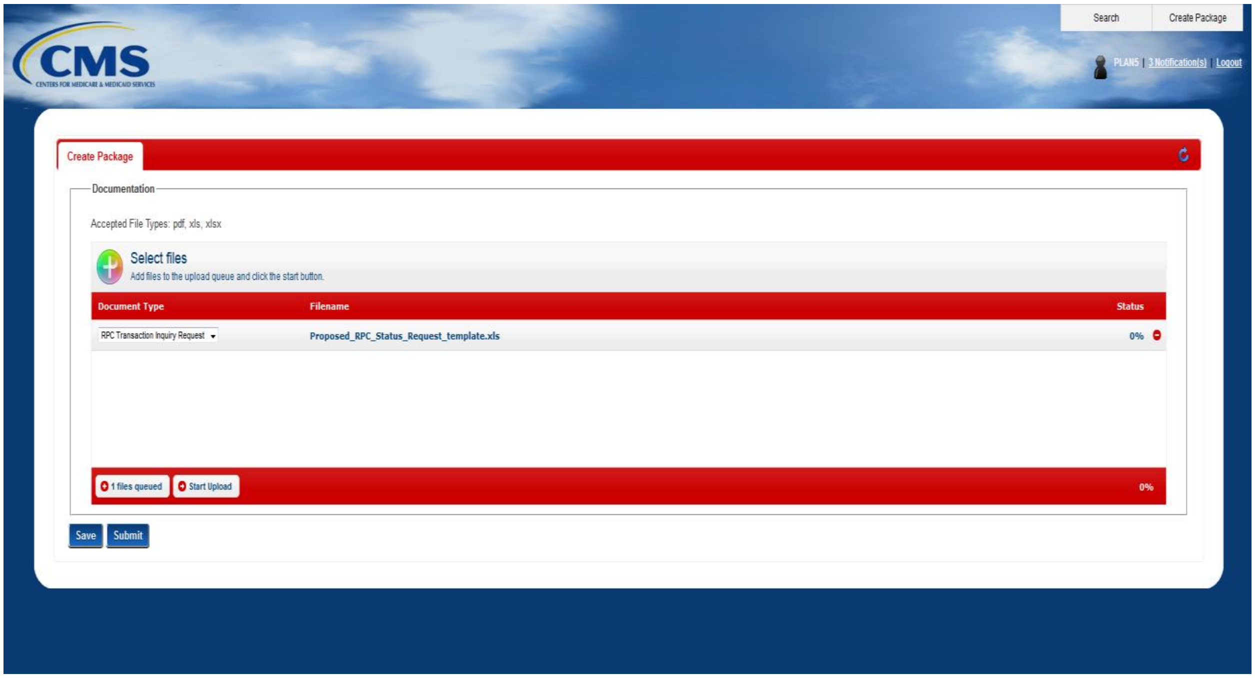
9 All xls documents within the local folder will be displayed as shown below:

Figure 26: Create Package - Transaction Inquiry



10 **Action**: Select the files you want to add for the document and select ***Save***. The selected document will display in the user interface.

Figure 27: Create Package - Transaction Inquiry

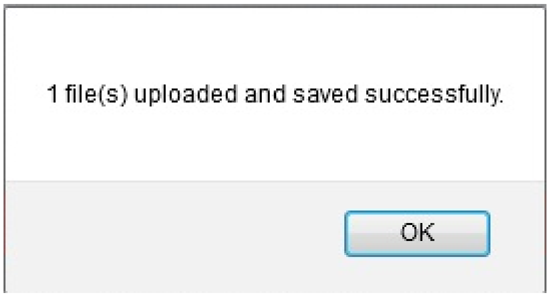


11 **Action**: Select the appropriate ***Document Type*** value from the dropdown to each document. The default value for all of the documents will be 'RPC Transaction Inquiry Request' when creating a Submission Package. The default document type value will vary based on the Package type and also the step in the process.

Note: For Transaction Inquiry Package 'RPC Transaction Inquiry Request' is the only document type the user can select for Package submission.

12 **Action**: Select ***Start Upload***.

Figure 28: Create Package - Transaction Inquiry



Note: A document is not submitted until the user receives a message indicating that it has been uploaded successfully.

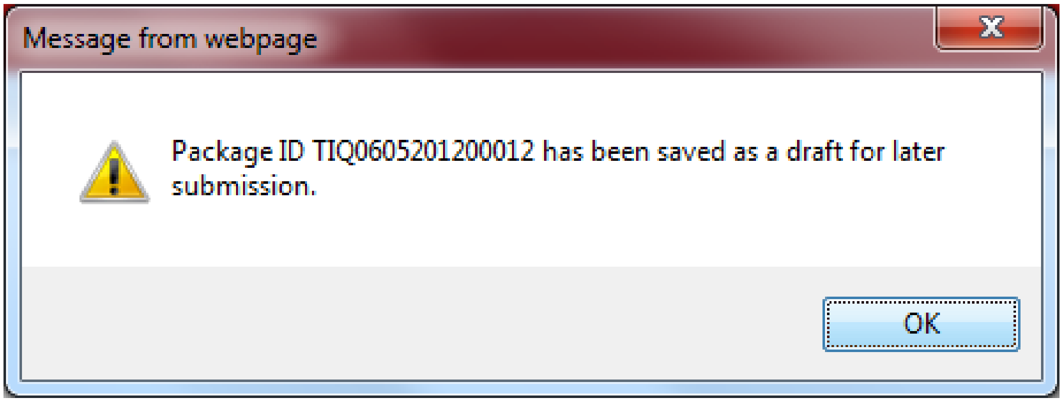
13 **Action**: Select ***OK***.

14 Now the user can either 'Save' as Draft Package or 'Submit' the Package by selecting the respective button.

Note: The user will not need to upload any documents to save the Package.

15 **Action**: To save a Package click on ***Save*** the user will see following message:

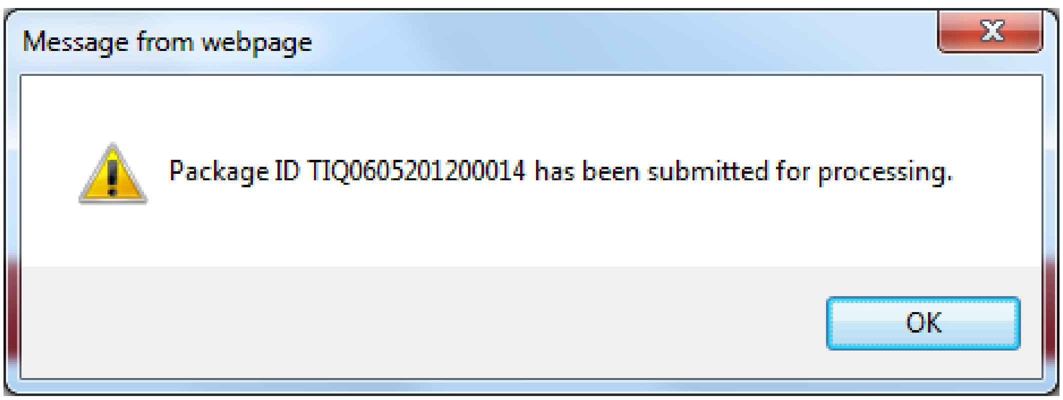
Figure 29: Create Package - Transaction Inquiry



Note: A saved Package can be retrieved on the Search screen by searching for Packages with 'Draft' status.

13. **Action**: Select ***Ok.***
14. **Action**: To submit a Package click on ***Submit.*** The user will then see the following message:

Figure 30: Create Package - Transaction Inquiry



Note: A submitted Package can be retrieved on the Search screen by searching for Packages with 'Open' status.

15 **Action**: Select ***OK***.
16 If the user has not added all the required documents for the Package before submitting the Package the following pop-up will be displayed:

Figure 31: Create Package - Transaction Inquiry

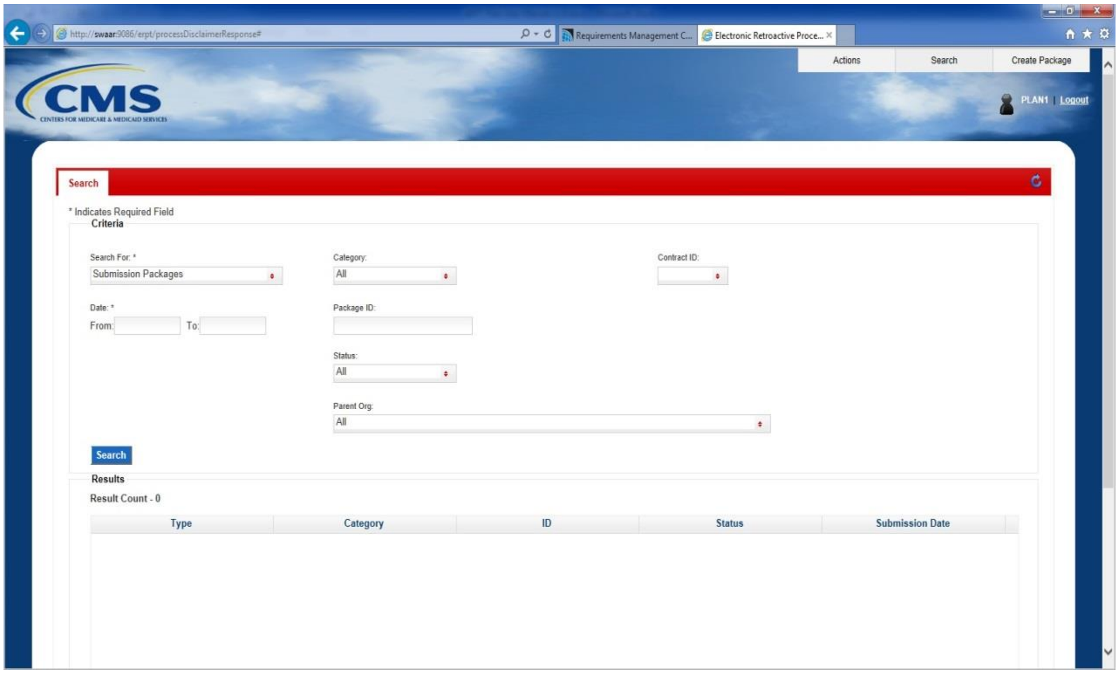
17 **Action**: Select ***Ok.*** Repeat steps 7 through 12 to add the required documents and then submit the Package.

4.3.3 Search Package

Note: For our example we will search for a Draft Submission Package. The required fields on the Search page are marked with an asterisk (*).

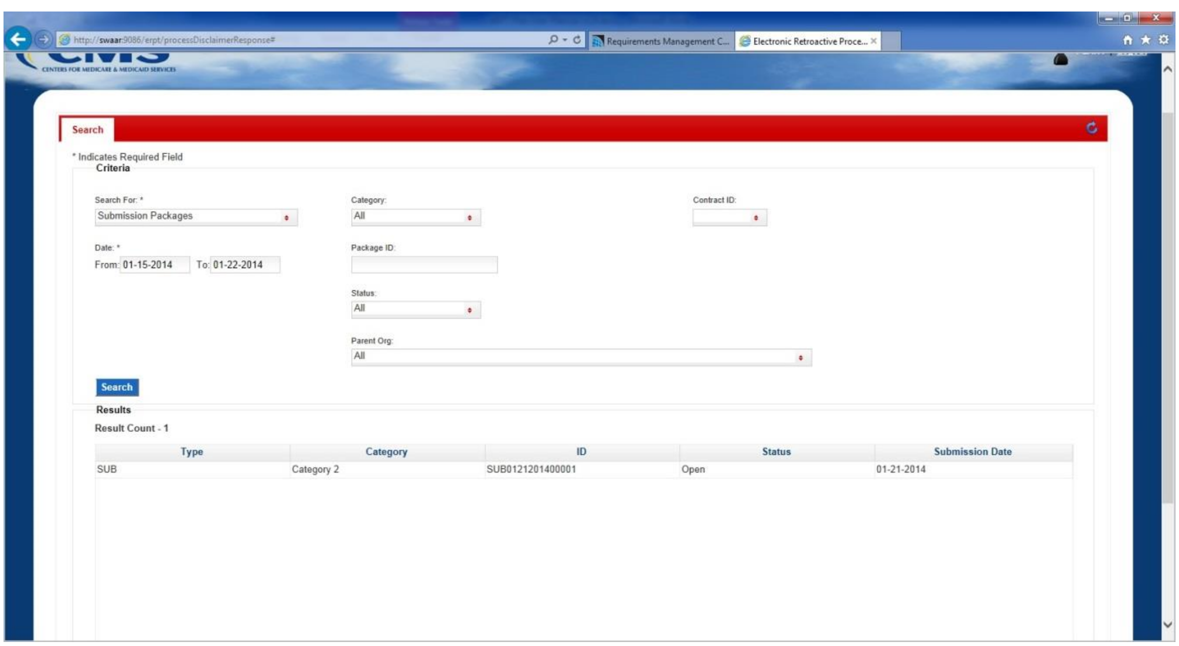
1. Login to the eRPT application.
2. **Action**: Select ***Search*** on top right corner of the screen.
3. **Action:** Select following options for Search Criteria:
    a. ***Search For*** - Select Submission Package from the dropdown.
    b. ***Date***
        i. ***From*** - Enter the beginning date for search.
        ii. ***To*** - Enter the end date for search.
    c. ***Package ID*** - For our example we will leave it blank.
    d. ***Category*** - Category 2 (Default value for Submission Package Search).
    e. ***Status*** - Select Draft from the dropdown.
    f. ***Parent Organization***: - Select 'All' from the dropdown.
    g. ***Contract ID***: Enter the Contract ID if you want to restrict your search to a specific contract.

Figure 32: Search Package



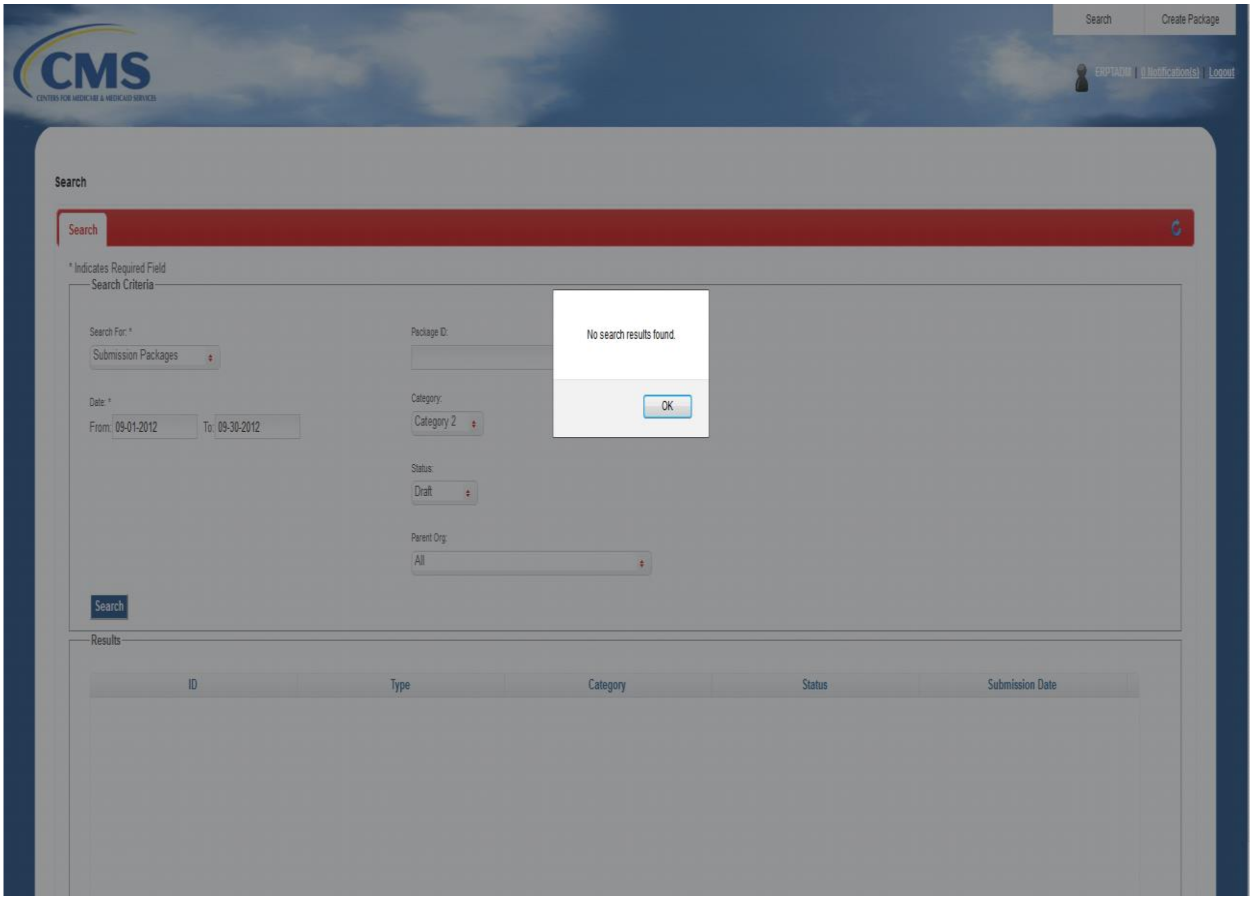
4. **Action**: Select ***Search***.
5. If the search criteria have any matching results the values will be displayed in the results grid as shown below. A Plan user will only see Packages to which the user has access in the results grid.

Figure 33: Search Package - Results



6. In section 4.3.4 we will discuss steps on how to view a Package retrieved in a Search.
7. If the search criteria does not have any results to display the following pop-up will be displayed:

Figure 34: Search Package



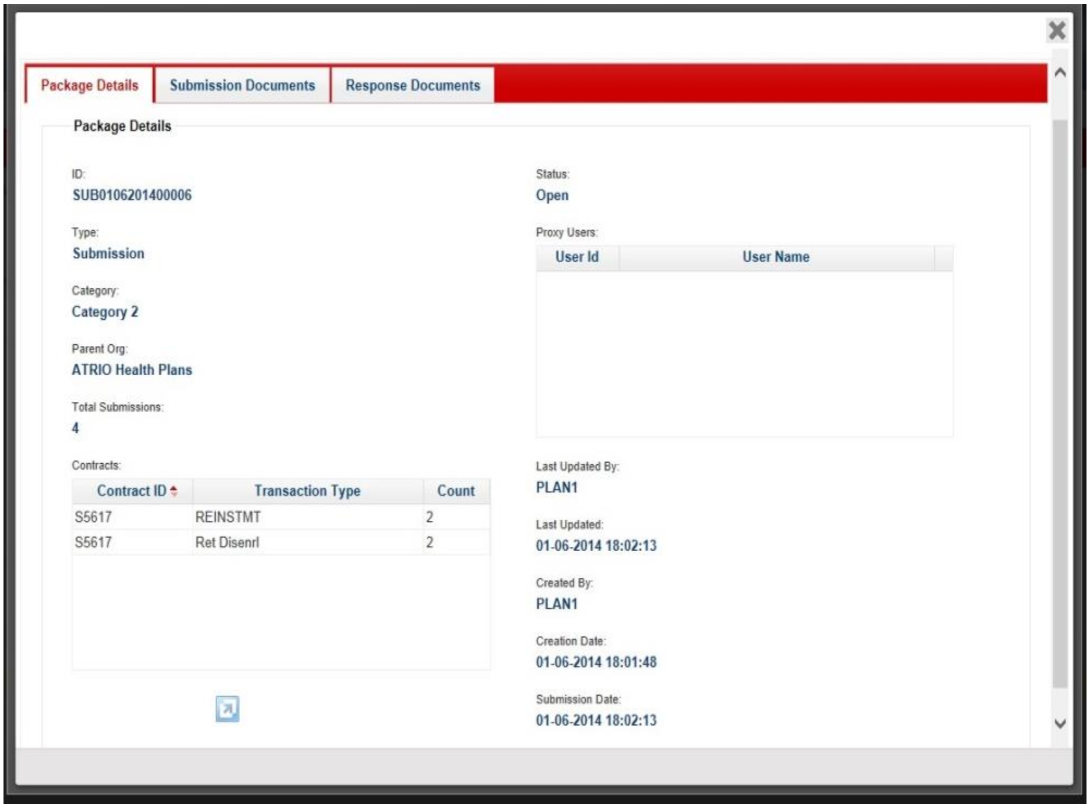
8. **Action**: Select ***Ok*** and repeat steps 1 to 4 to perform a new search.

4.3.4 Steps to View a Package

1 Login to the eRPT application.
2 Search for Packages as shown in section 4.3.3
3 **Action**: Double click on Package in the result grid to view it. The "Package Details" tab will be displayed as shown below:

Note: Based on the Package status you may see a button on the top right corner of the "Package Details" tab.

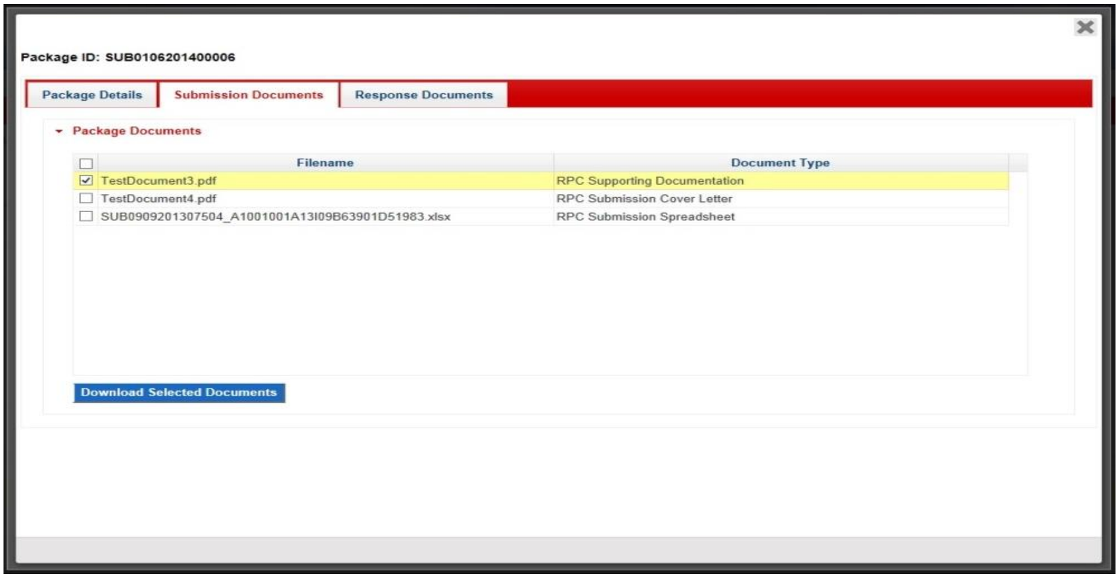
Figure 35: View Package



4 **Action**: Select ***Submission Documents*** tab to view all the documents that were submitted during Package submission.

Note: Depending on the Package type and category code, the document types available may differ. Refer to Appendix C for selections available under Submission Documents.

Figure 36: View Package

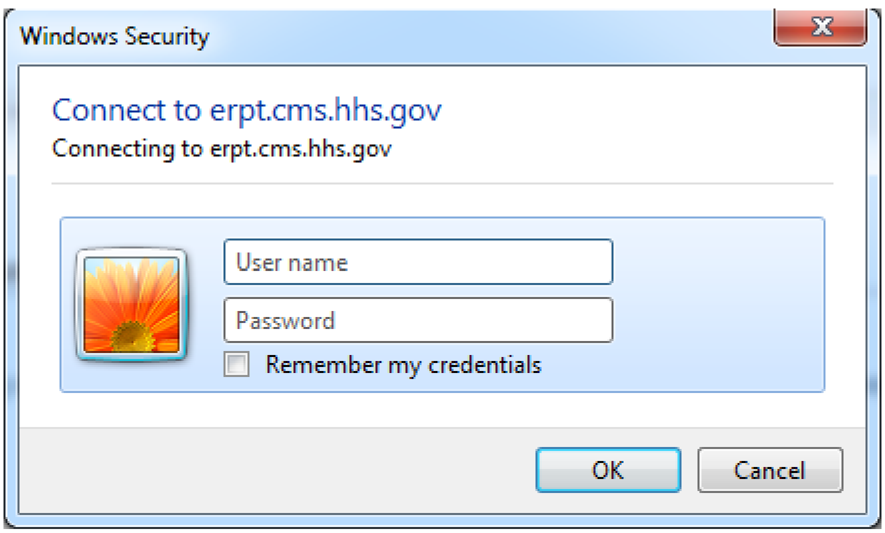


5 **Action**: To view the documents select ***Package Documents*** to expand the selection to view the list of documents.

6 **Action**: Select the document you want to view by double clicking on the document row.

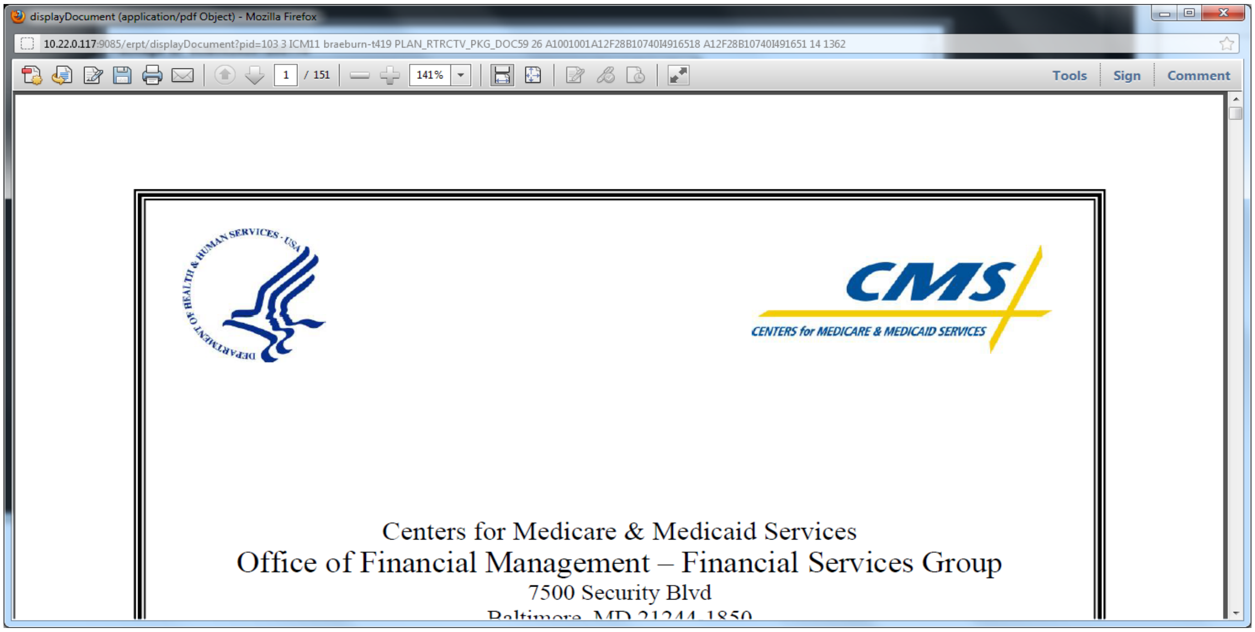
7 **Action**: If the user receives the pop up window shown in the image below, select ***Cancel***.

Figure 37: View Package Document



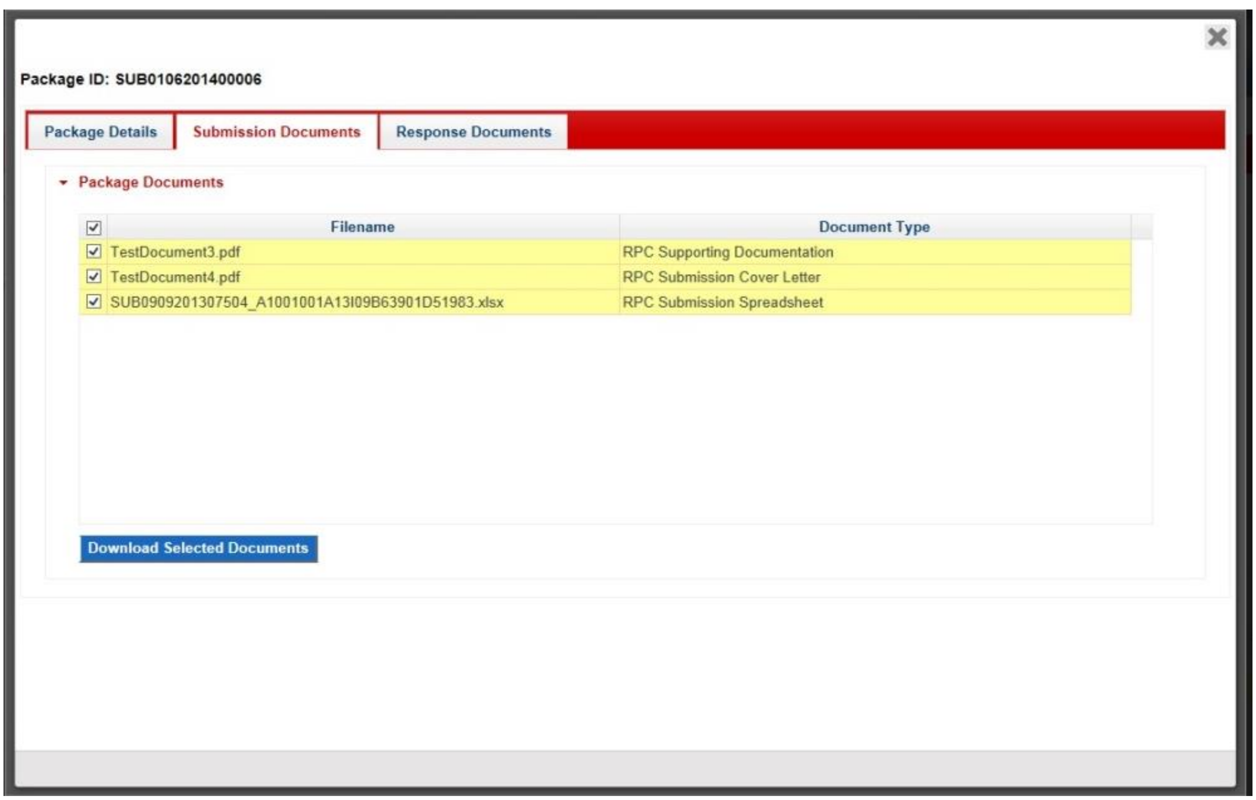
8 The document will open as shown below:

Figure 38: View Package Document



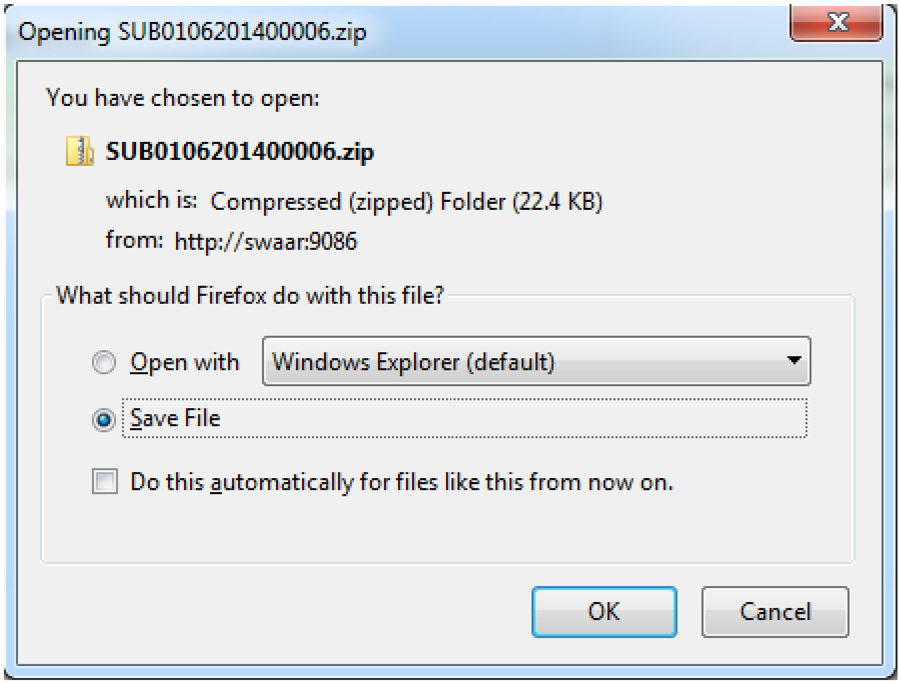
9 If you want to download the documents select the check box as shown below:

Figure 39: View Package - Files selection



10 **Action:** Once the selection is completed select ***Download Selected Documents*** button. A pop up window will be displayed as shown below:

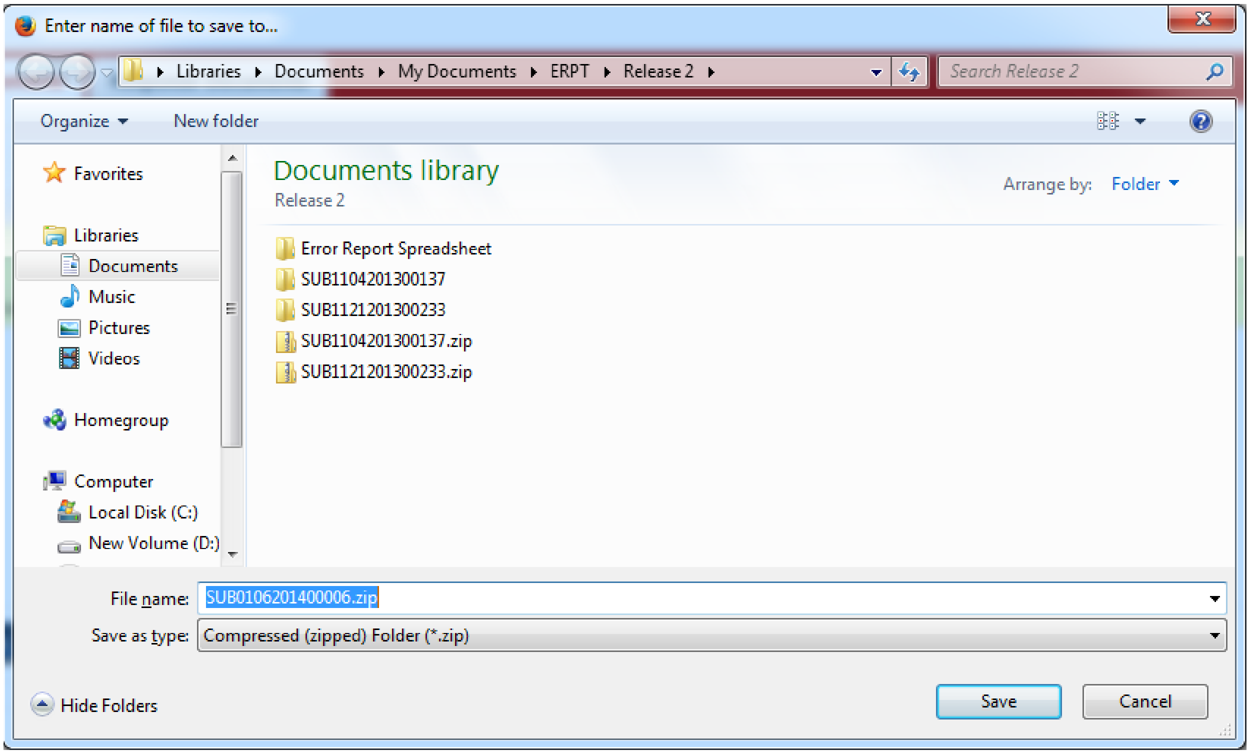
Figure 40: View Package - Download Selected Documents



11 **Action**: Select ***Save File*** radio button.

12 **Action**: Select ***Ok.*** A pop up window will display to allow the user to select the location to save the files.

Figure 41: View Package - Download Selected Documents



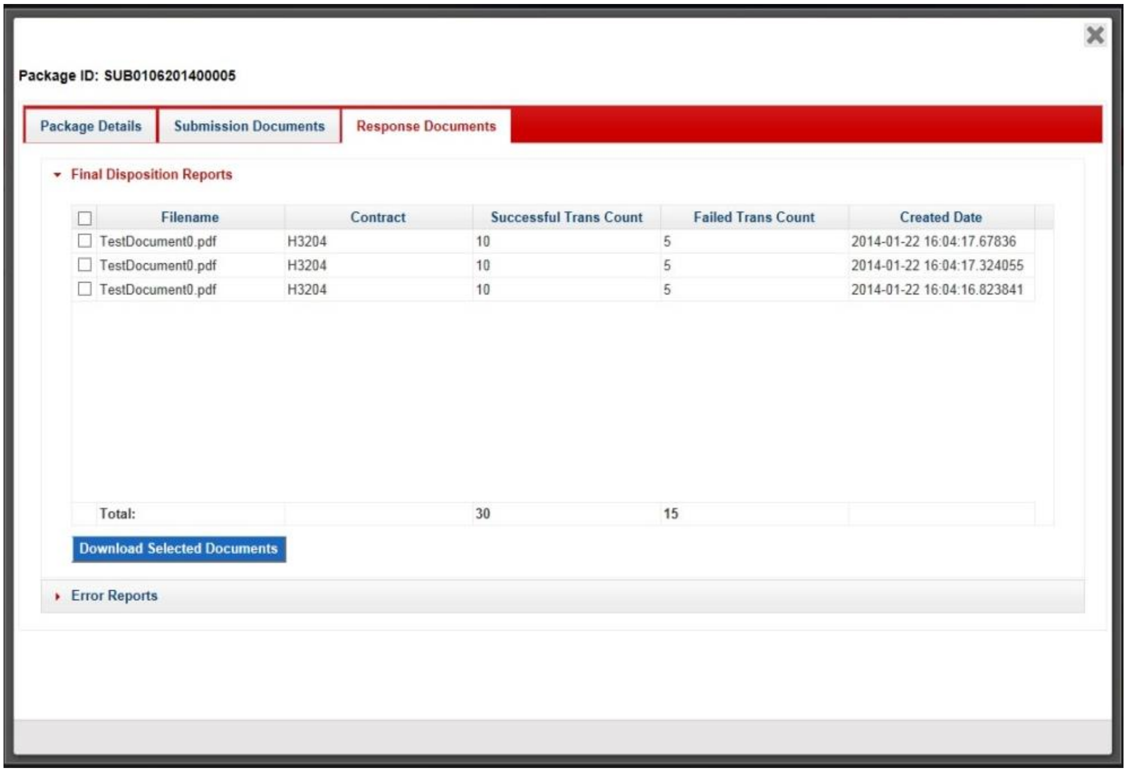
13 **Action**: Select **Save**.

14 The documents will be saved successfully on your local computer.

15 **Action**: Select ***Response Documents*** to view all the Response Documents submitted by the RPC contractor as shown below:

Note: Response documents will not be available if the status is marked as Draft, Pending RO Approval or Open. Also the Response documents will only be visible if the user has access to those documents.

Figure 42: View Package Documents

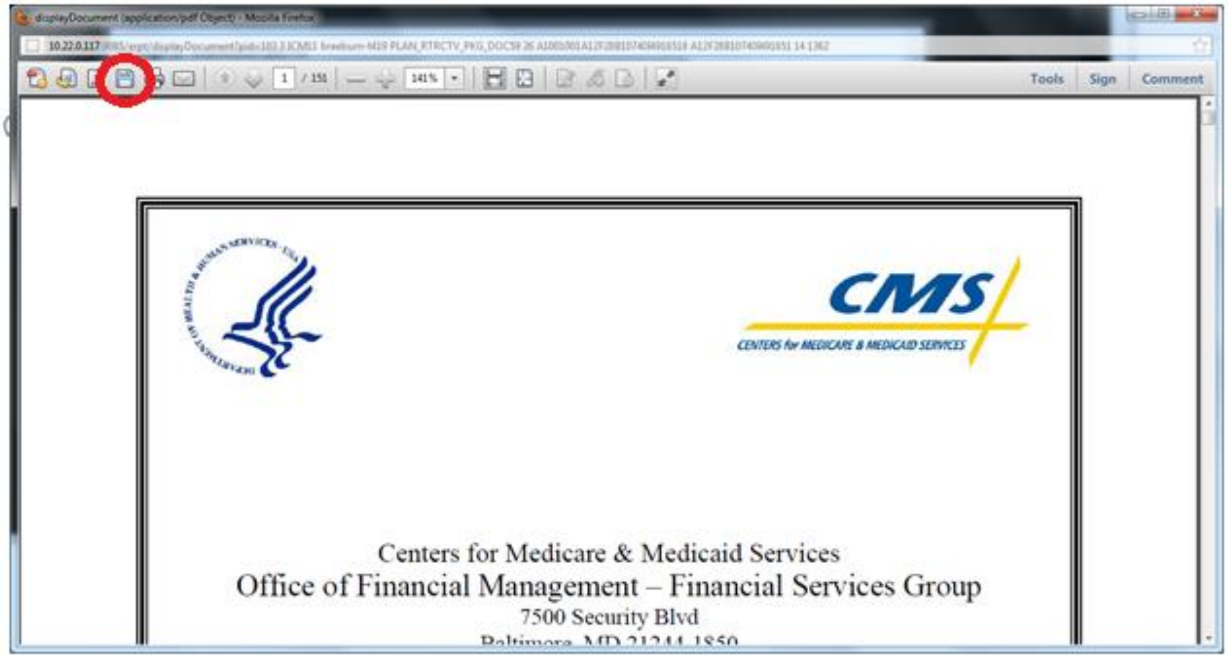


16 **Action**: To view the documents, the user can click ***Final Disposition Reports*** or ***Error Reports*** to expand the selection to view the list of documents.

Note: The document types displayed under Response documents will vary based on the Package type. Refer to Appendix C for selections available under Response Documents.

17 **Action**: Select the document you want to view by double clicking on the document row. The document will open as shown below:

Figure 43: Save a Document



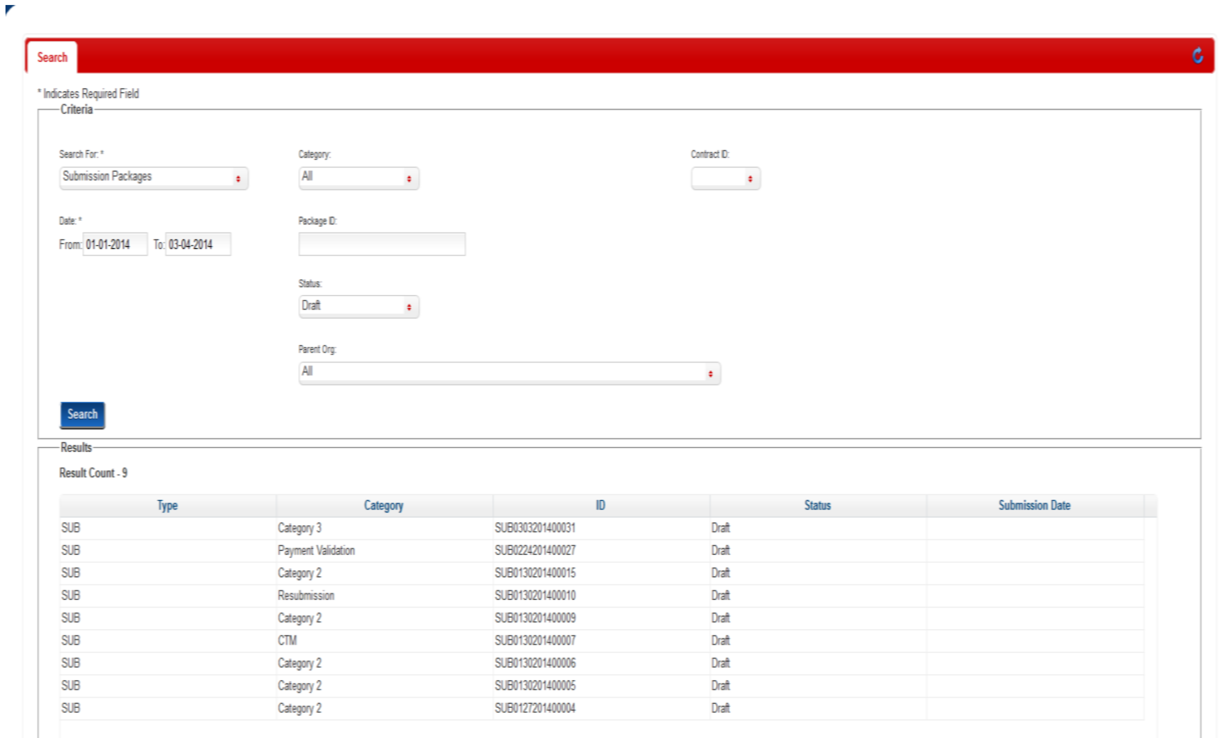
18 If you want to download and save the documents locally, repeat steps 10 to 14.

4.3.5 Steps to update a Package

Note: Only Packages in 'Draft' status can be updated.

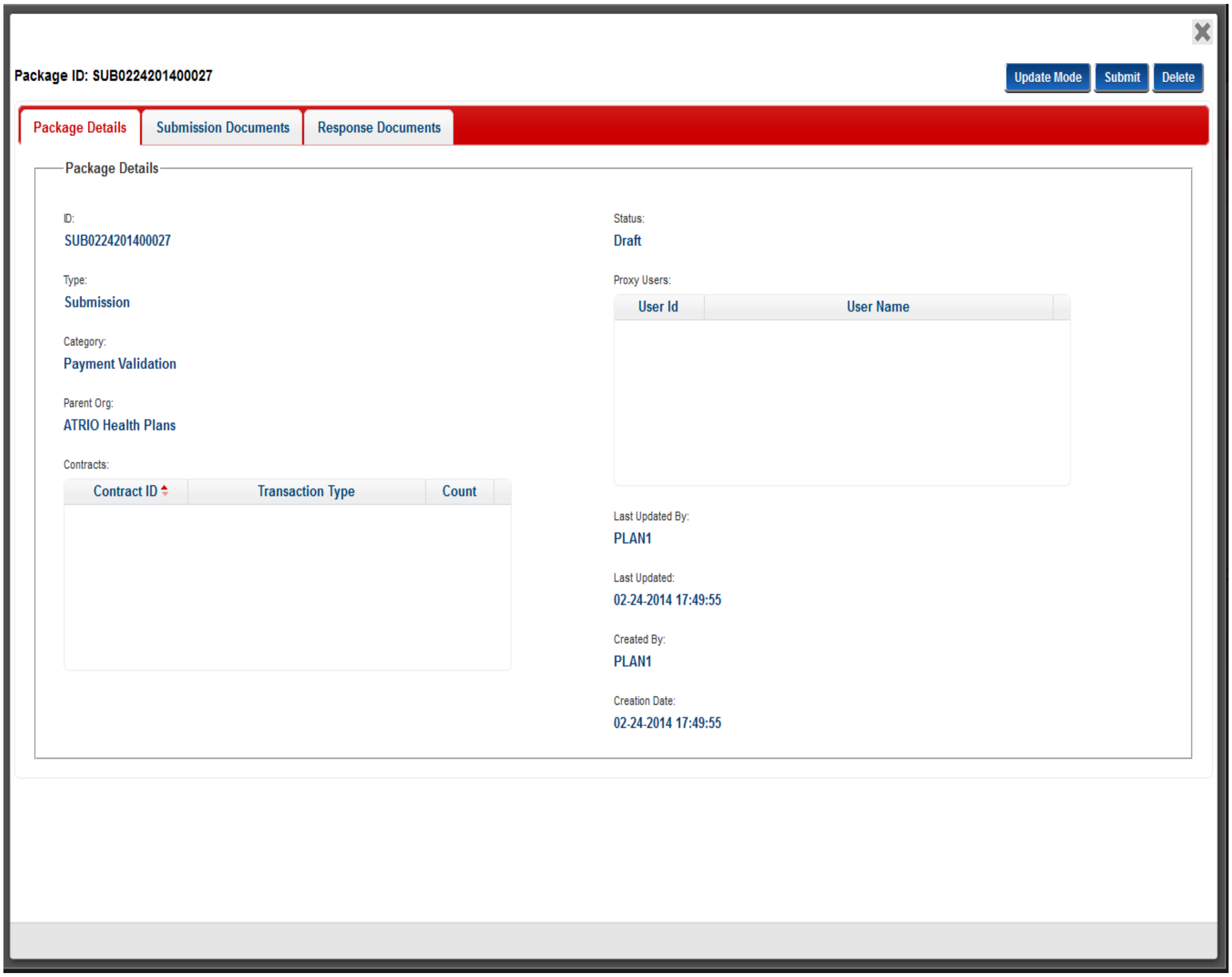
1. Login to the eRPT application.
2. **Action**: Select ***Search***.
3. Enter the search criteria as shown in section 4.3.3 to retrieve the Package.
4. **Action**: Select ***Search***.
5. The results meeting the search criteria will be displayed in the result grid.

Figure 44: Update a Package



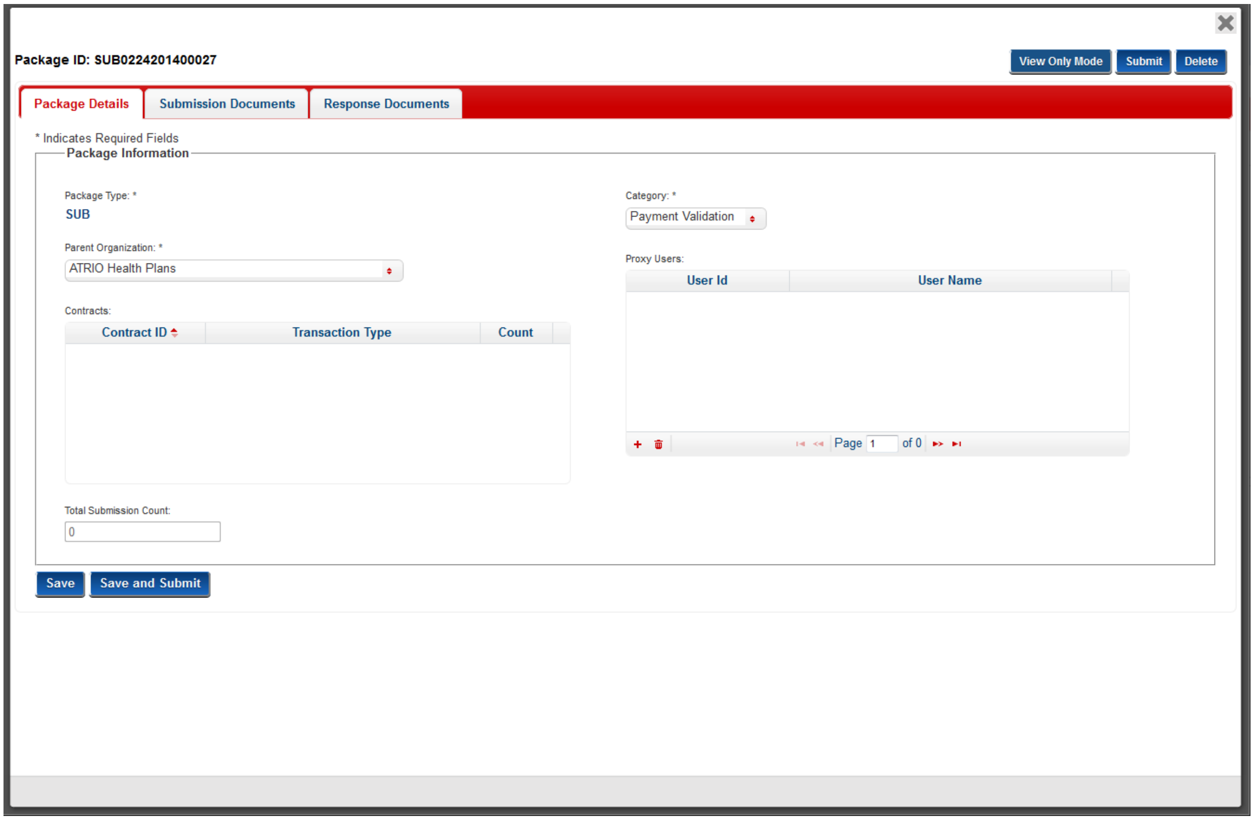
6. **Action:** Open the Package that you want to update by double clicking on the Package.

Figure 45: Update a Package



7 **Action**: Select ***Update Mode*** from the top right corner of the Package screen.

Figure 46: Update a Package

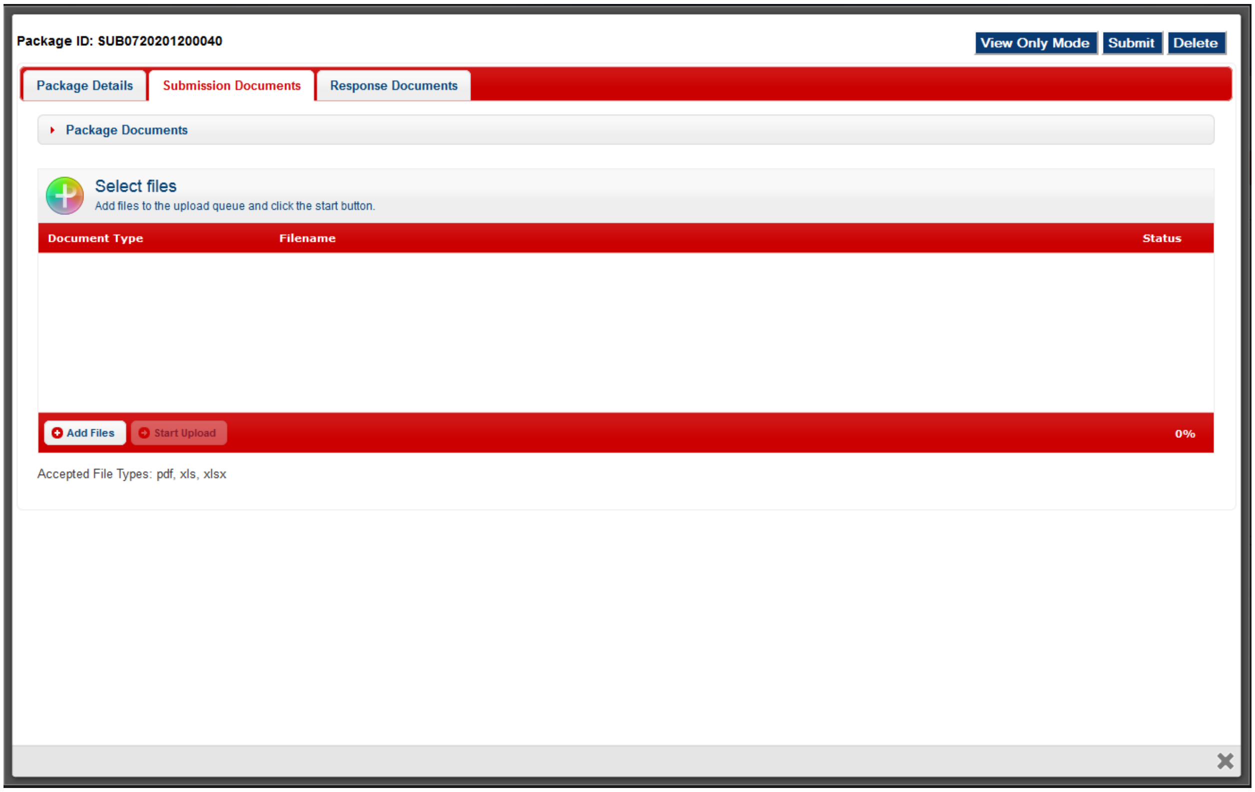


8 **Action**: To update the Package attributes select ***Package Details*** to update the attributes.

9 **Action**: Once the update is completed select ***Save***.
Note: If the Save button is not selected after updating the Package attributes, the updated information will not be saved for the Package.

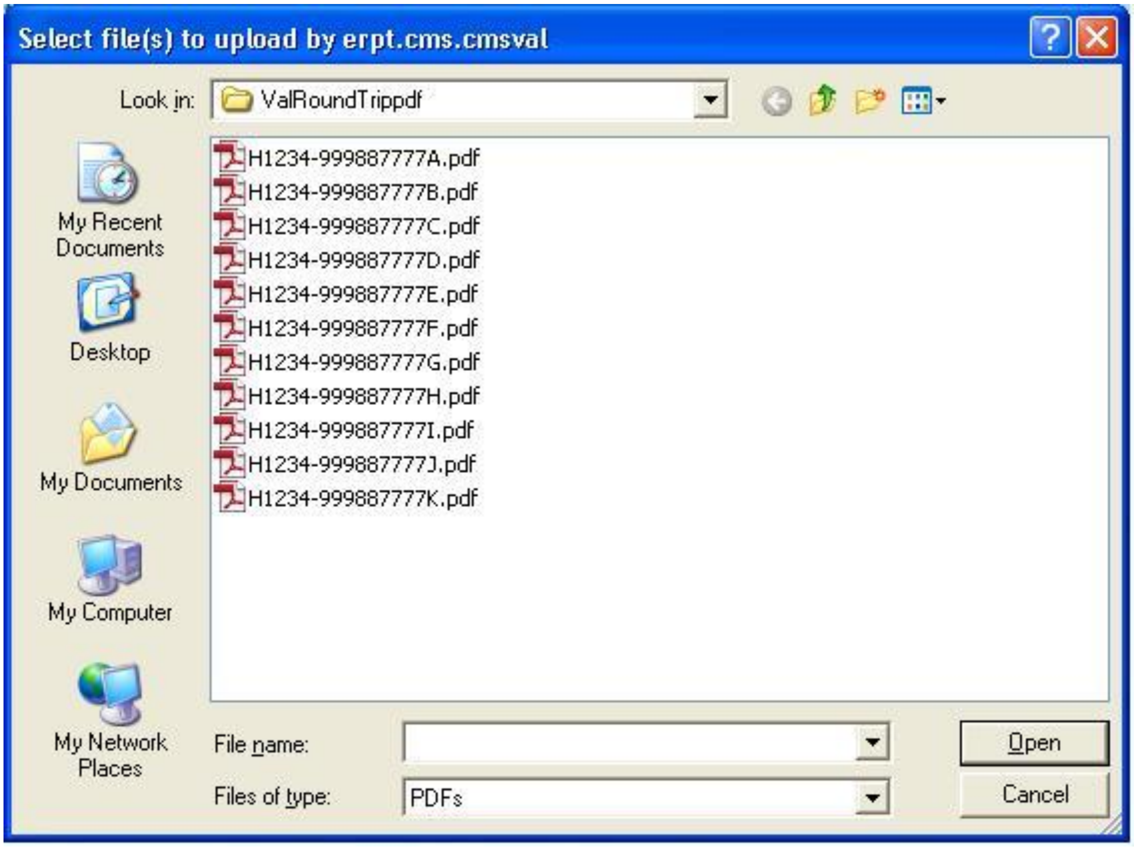
10 **Action**: To add additional documents select the **Submission Documents** tab.

Figure 47: Update a Package



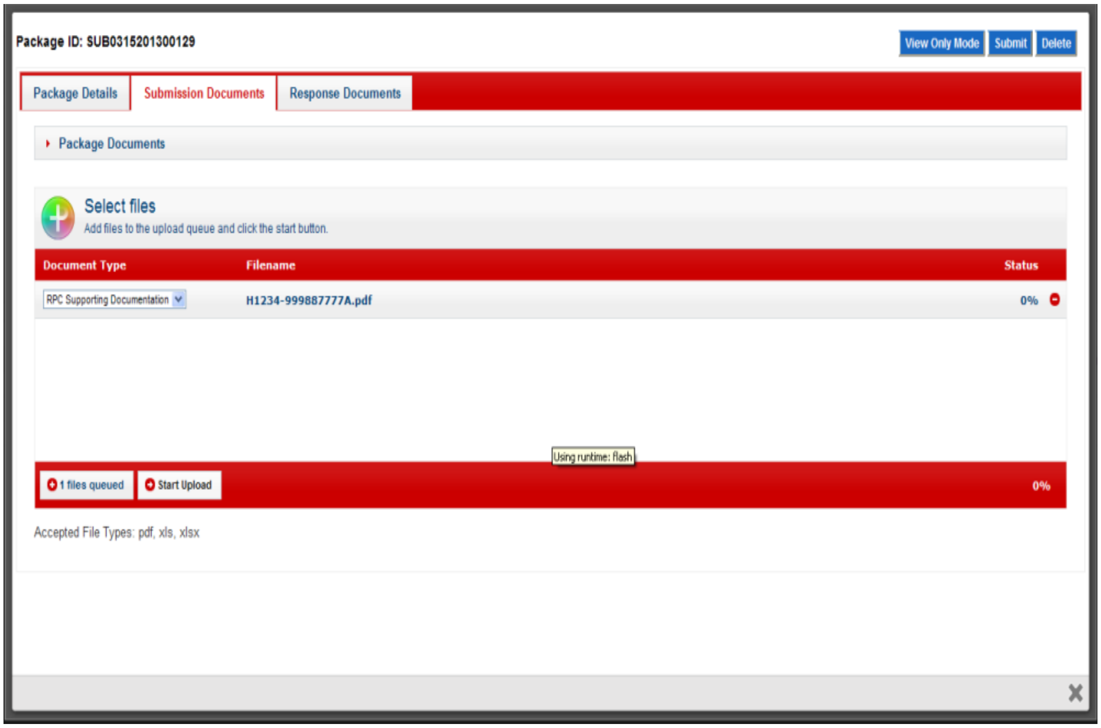
11 **Action**: Select ***Add Files*.** Windows Explorer pop-up window will be displayed for the user to select the documents as shown below:

Figure 48: Update Package



12 **Action**: Select the files you want to add for the Package and select ***Save***. The selected document will display in the user interface.

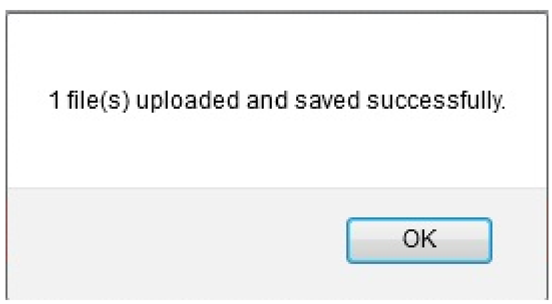
Figure 49: Update Package



13. Select the appropriate document type value from the drop-down and select **Start Upload**. On successful upload the user interface will display the following message:

Note: The message in the pop-up will display the number of documents that were uploaded.

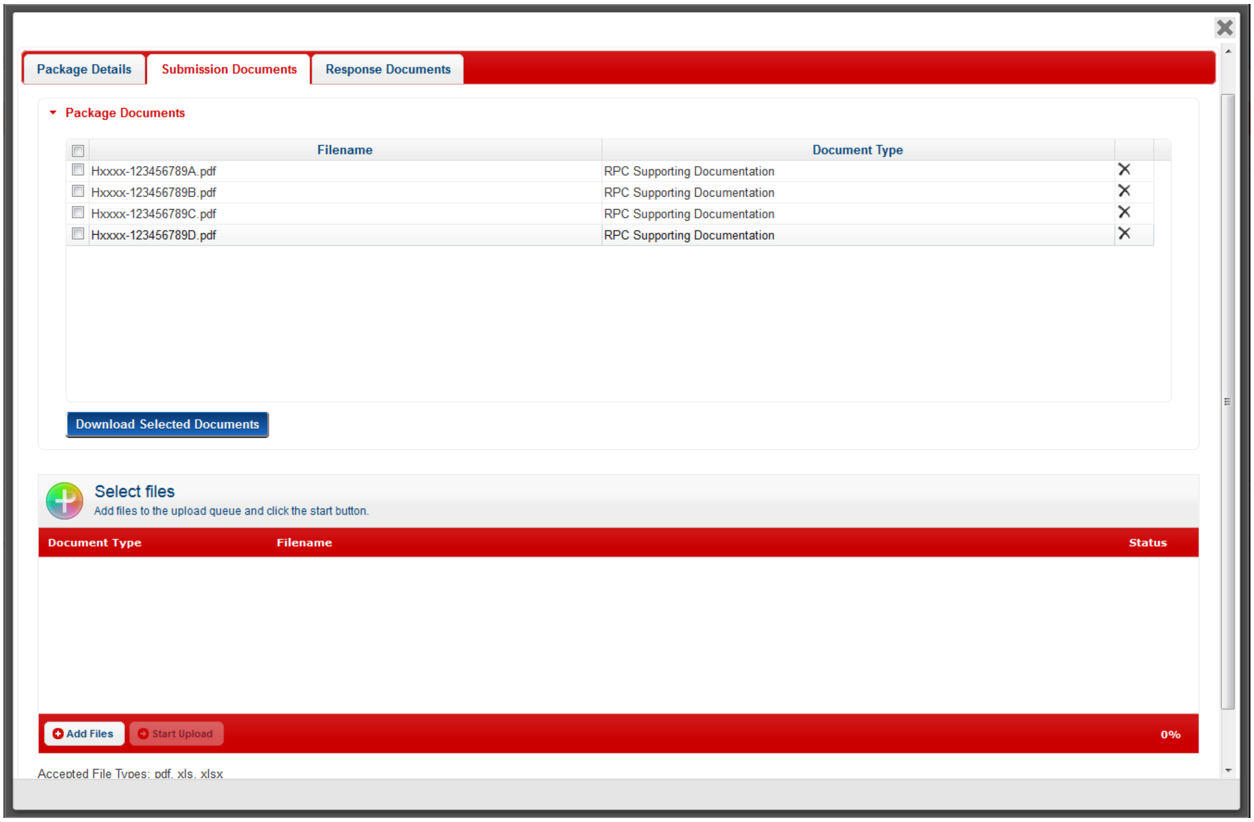
Figure 50: Update Package



Note: Acceptable file types for uploading are PDF, XLS and XLSX. The eRPT does not accept the XLSM format. This format must be converted to an acceptable format. See section 4.5 of this manual for instructions on how to convert an xlsm file to an acceptable format.

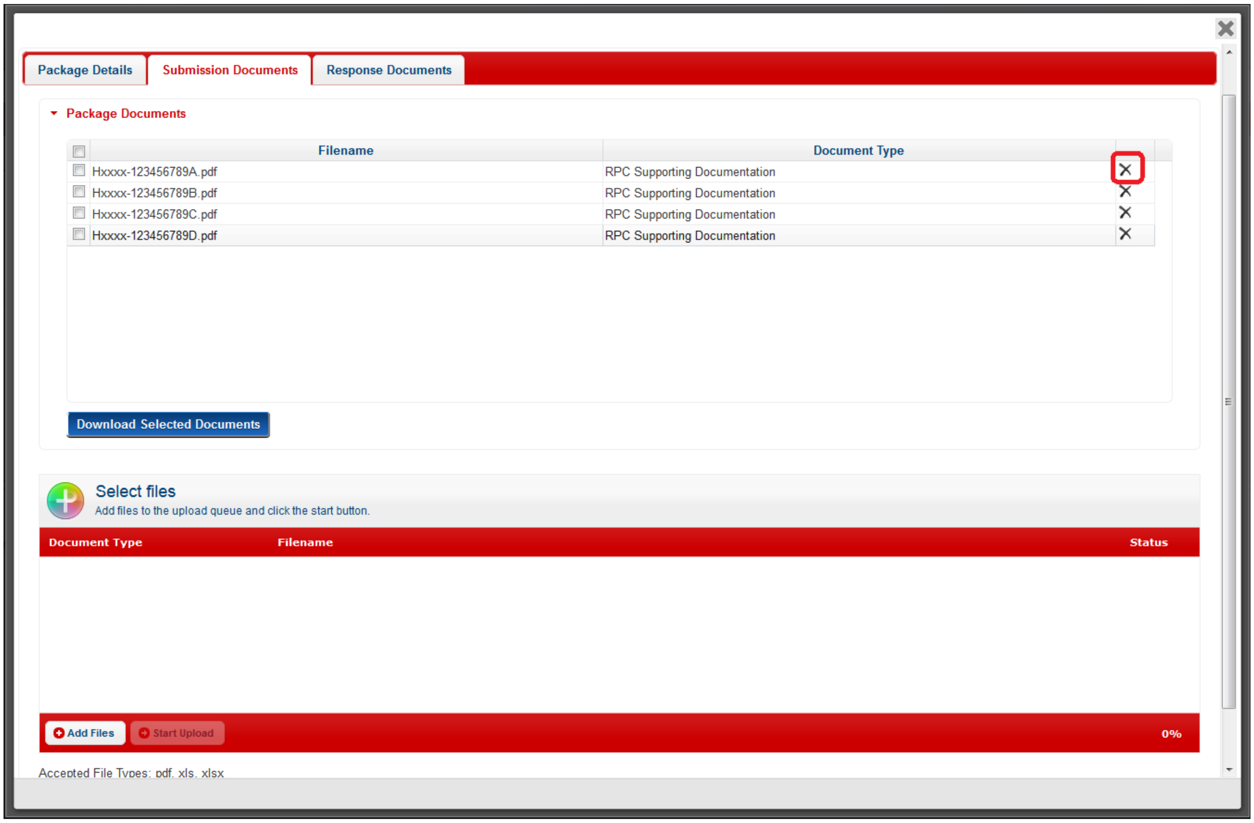
14 To delete documents uploaded on the package, select the package documents to display all the documents uploaded on the package as shown below:

Figure 51: Update Package



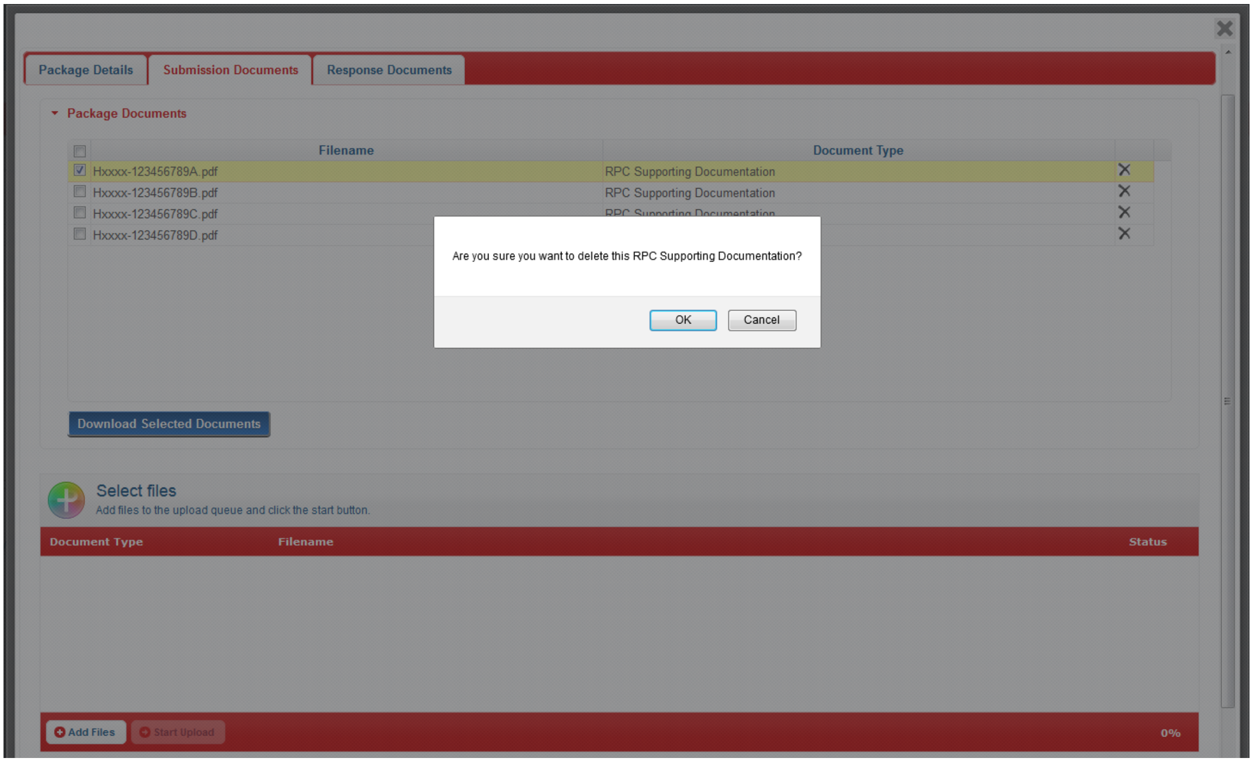
15 **Action**: Select the delete sign as shown below to delete the documents.

Figure 52: Update Package



16 The user will be displayed with a pop up window to confirm deletion as shown below:

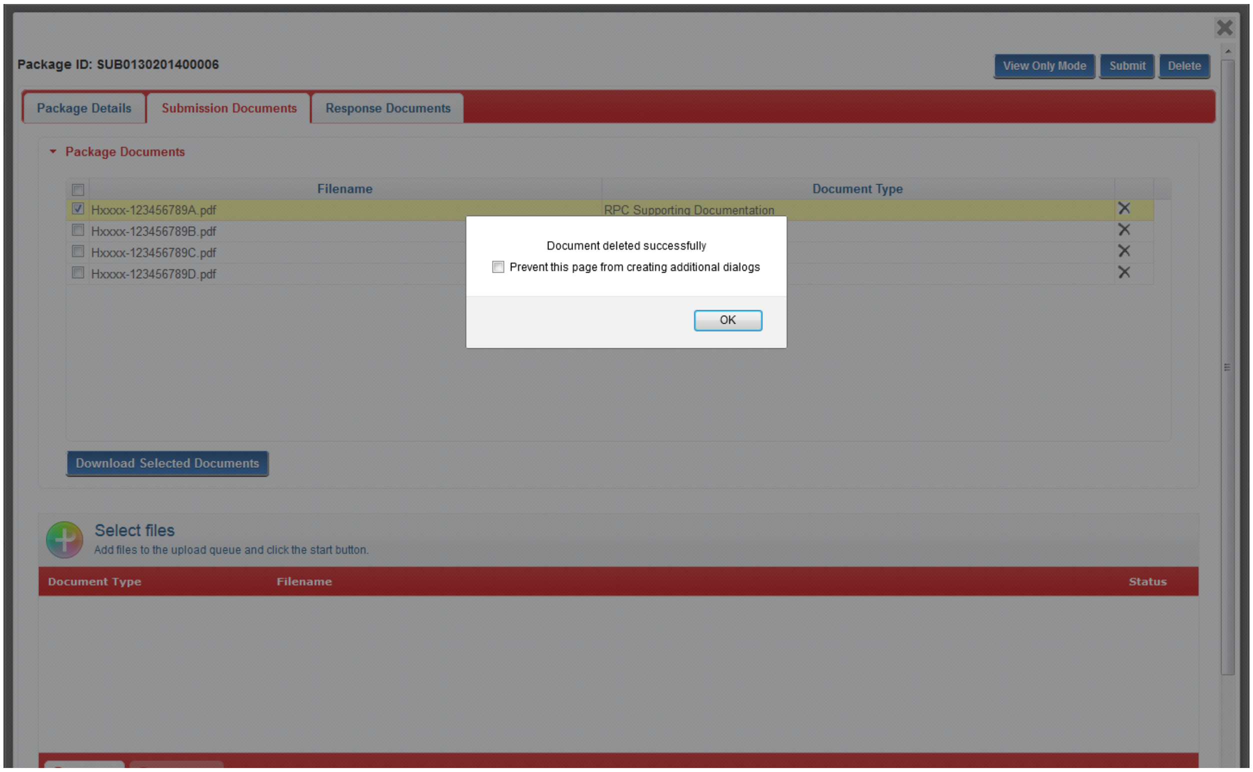
Figure 53: Update Package



17 **Action**: Select ***OK*** button. The application will display a message as shown below:

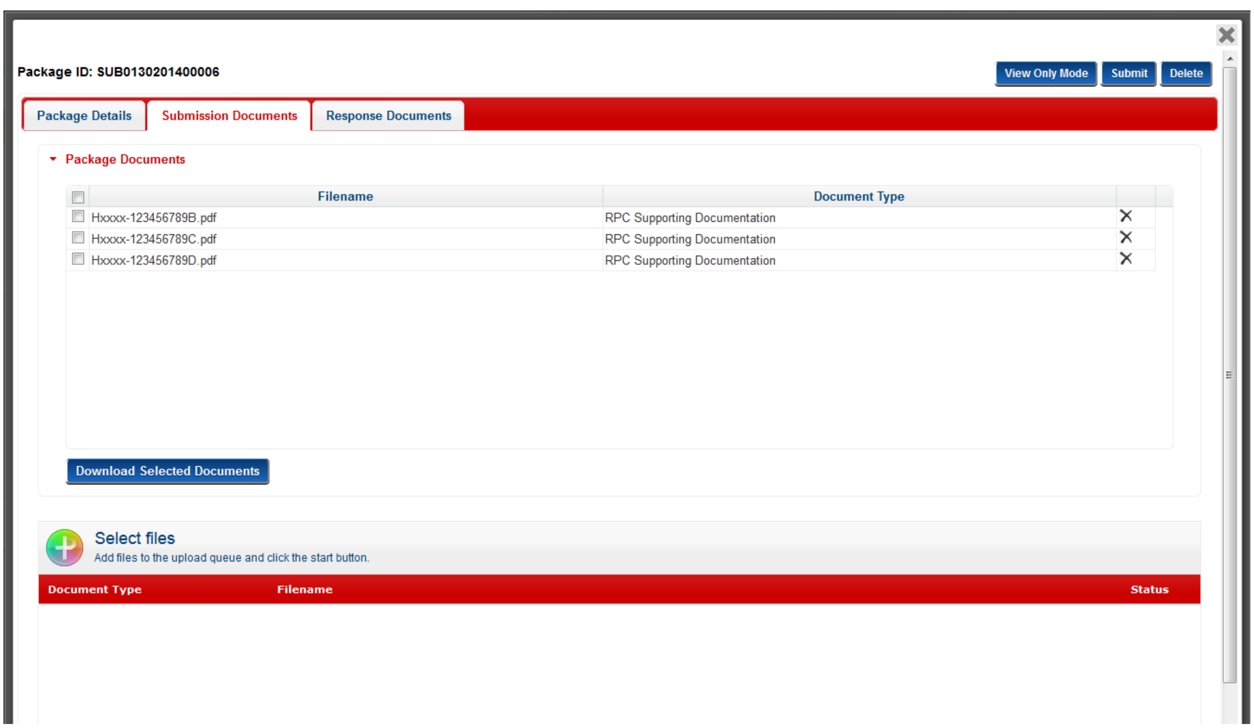
Note: The document will be deleted permanently and the user will not need to select Save button again.

Figure 54: Update Package



18 **Action**: Select ***OK*** button. The document will disappear as shown below:

Figure 55: Update Package

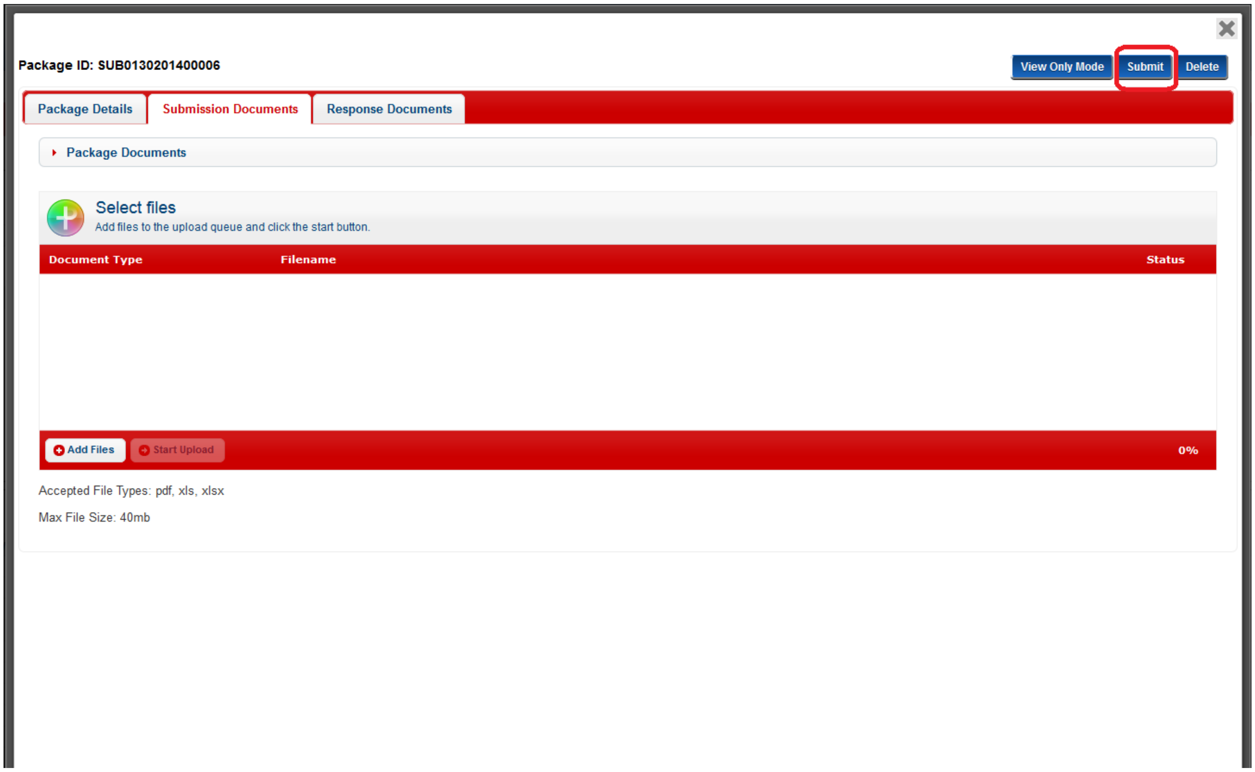


19 After making the required updates, if the user chooses he/she can select to submit the Package, close the Package screen or switch back to 'View Mode' or delete the Package.

20 To submit the Package:

a. **Action**: Select ***Submit*** button on the top right corner of Package Screen as shown below:

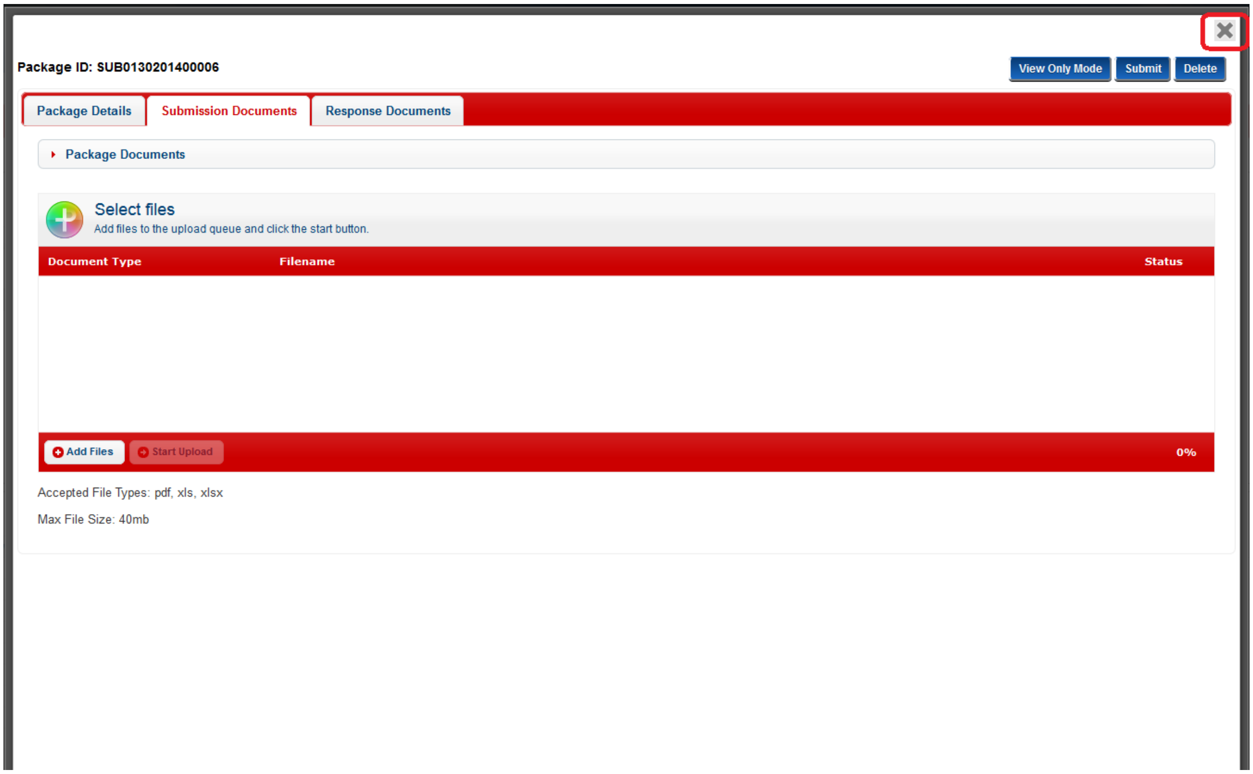
Figure 55: Update Package



21 To close the Package screen:

i. **Action**: Select ***x*** at the bottom right corner of the screen.

Figure 56: Update Package



ii. **Action:** You can also choose to click outside the Package screen and Package will be closed.

17. Switch to View Only Mode:
    i. **Action**: Select ***View Only Mode*** button on the top right corner of the Package screen.

*Note: If the Package screen is closed before selecting the **Start Upload** for selected documents in the Submission Documents the document will not be saved for the Package. Please make sure to upload the document before closing or submitting the Package.*

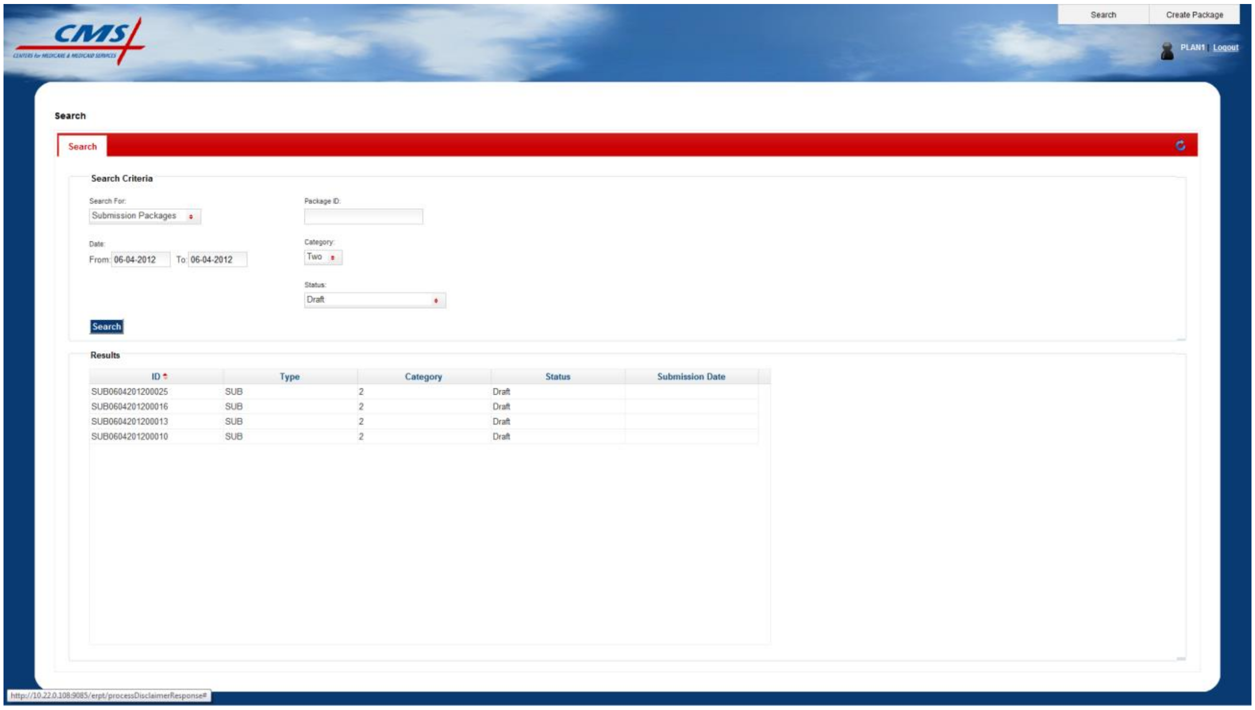
4.3.6 Steps to delete uploaded documents on a Draft Package

Note: The documents can be deleted only on Packages in 'Draft' status.

In the eRPT application when documents on draft package are deleted it will be permanently deleted from the application and cannot be retrieved. Documents on a draft Package can be deleted only by the Package Creator.

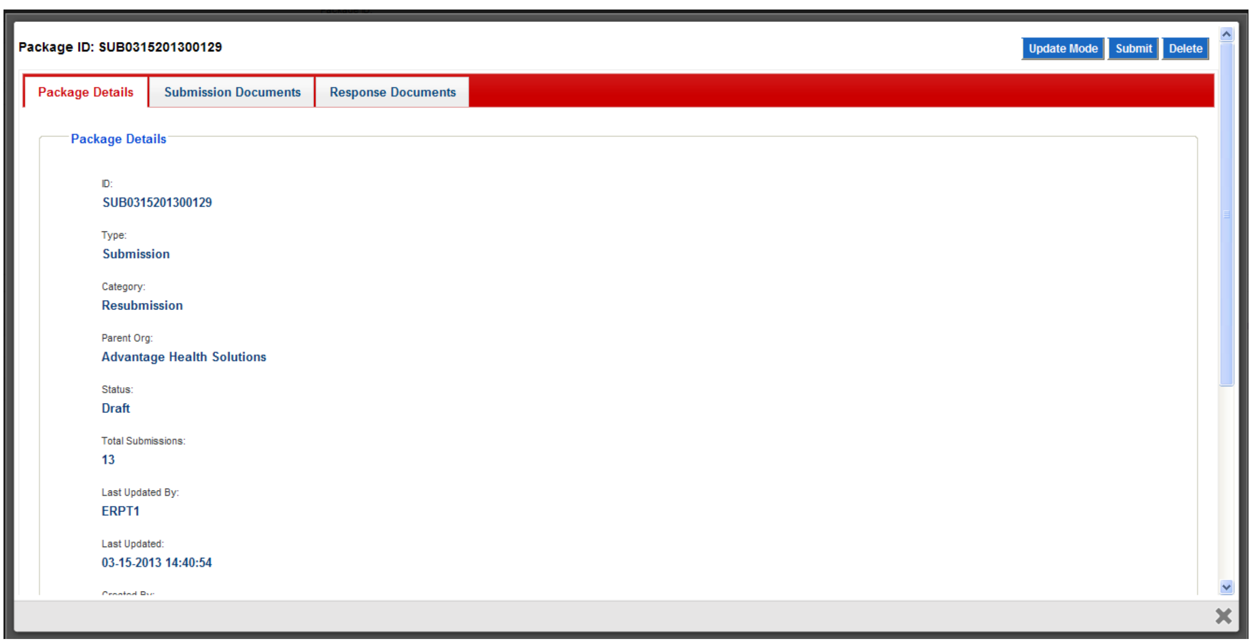
1. Login to the eRPT application.
2. **Action:** Select ***Search***.
3. Enter the search criteria as shown in section 4.3.3 to retrieve the Package.
4. **Action:** Select ***Search***.

Figure 57: Delete Uploaded Documents on a Draft Package



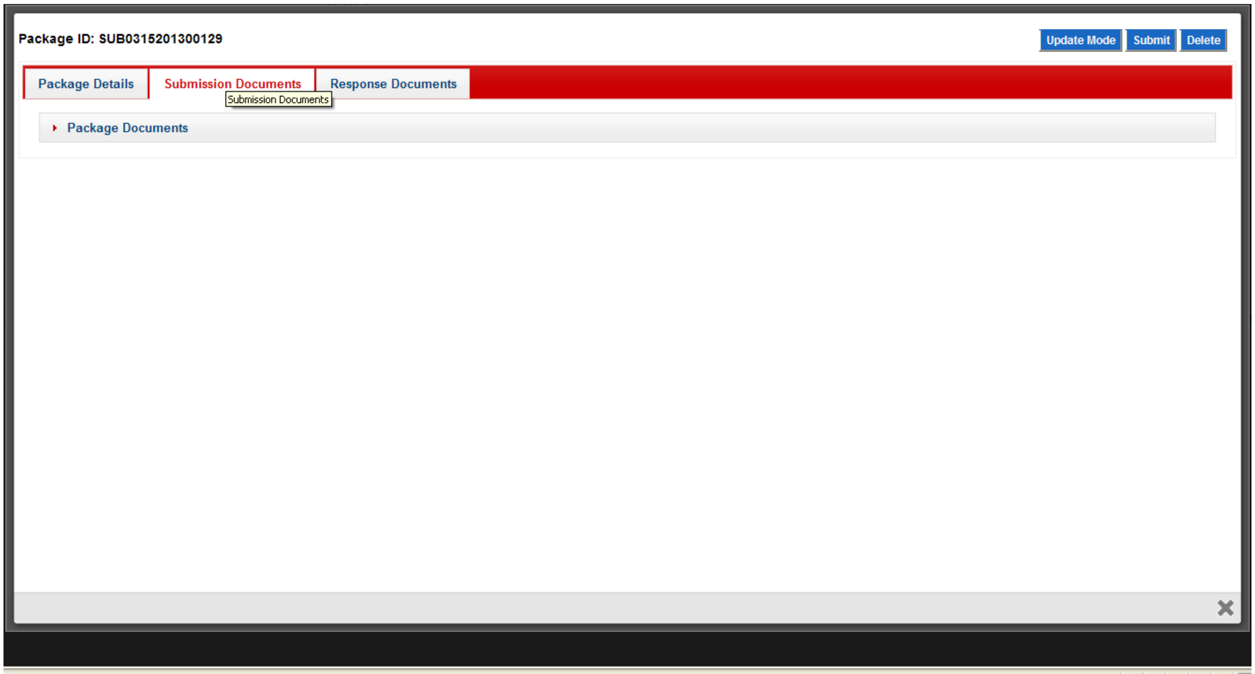
5. **Action:** Open the Package that you want to delete by double clicking on the Package.

Figure 58: Delete Uploaded Documents on a Draft Package



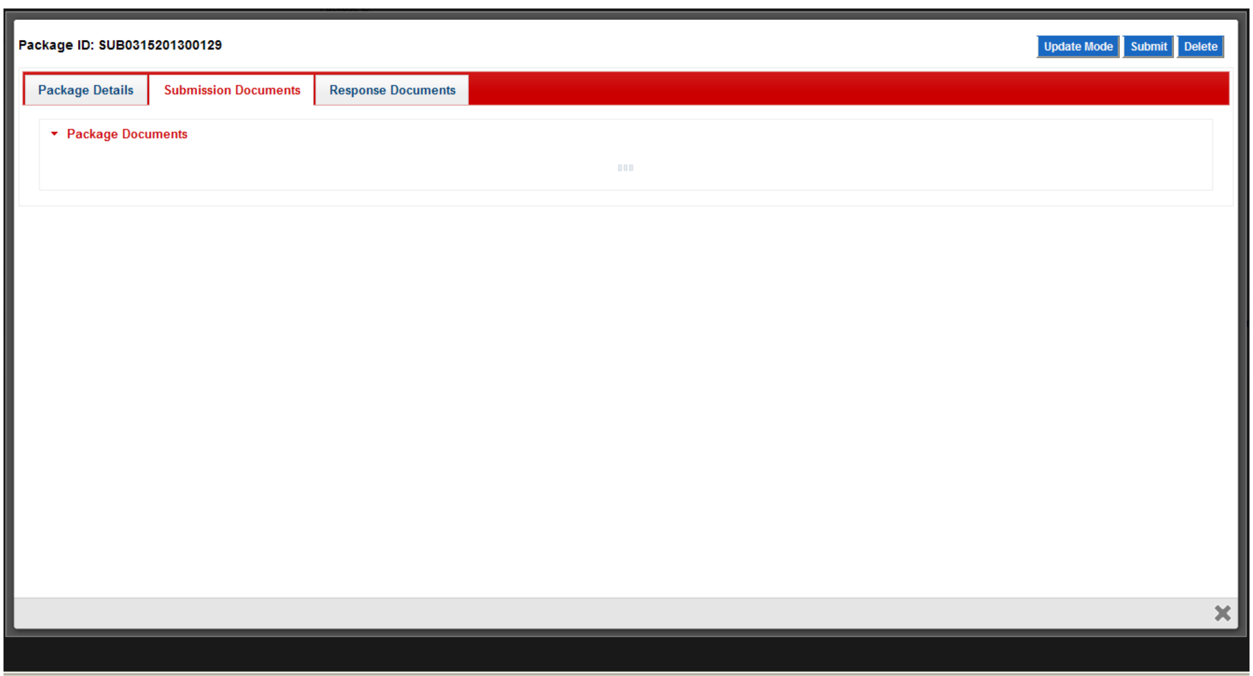
6. **Action**: Select Submission Documents Tab.

Figure 59: Delete Uploaded Documents on a Draft Package



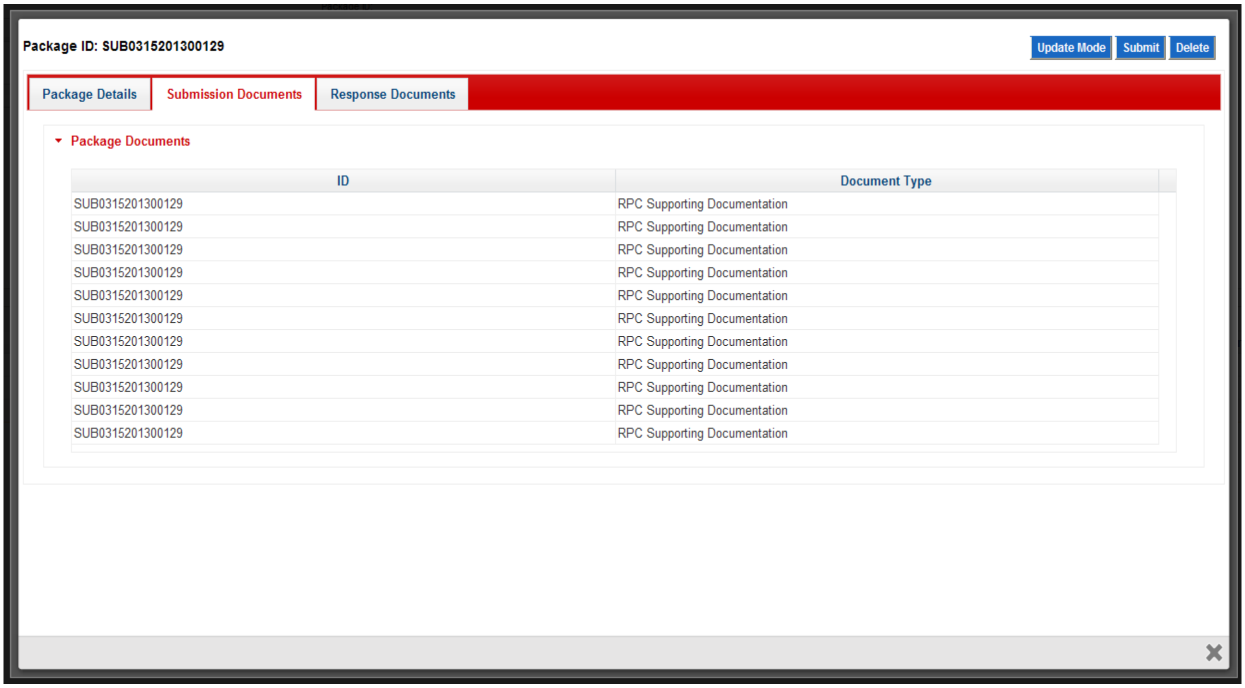
7. **Action**: Expand Package Documents by selecting the red arrow next to it. Depending on the internet speed and size of the document users may see the following screen with downloading action:

Figure 60: Delete Uploaded Documents on a Draft Package



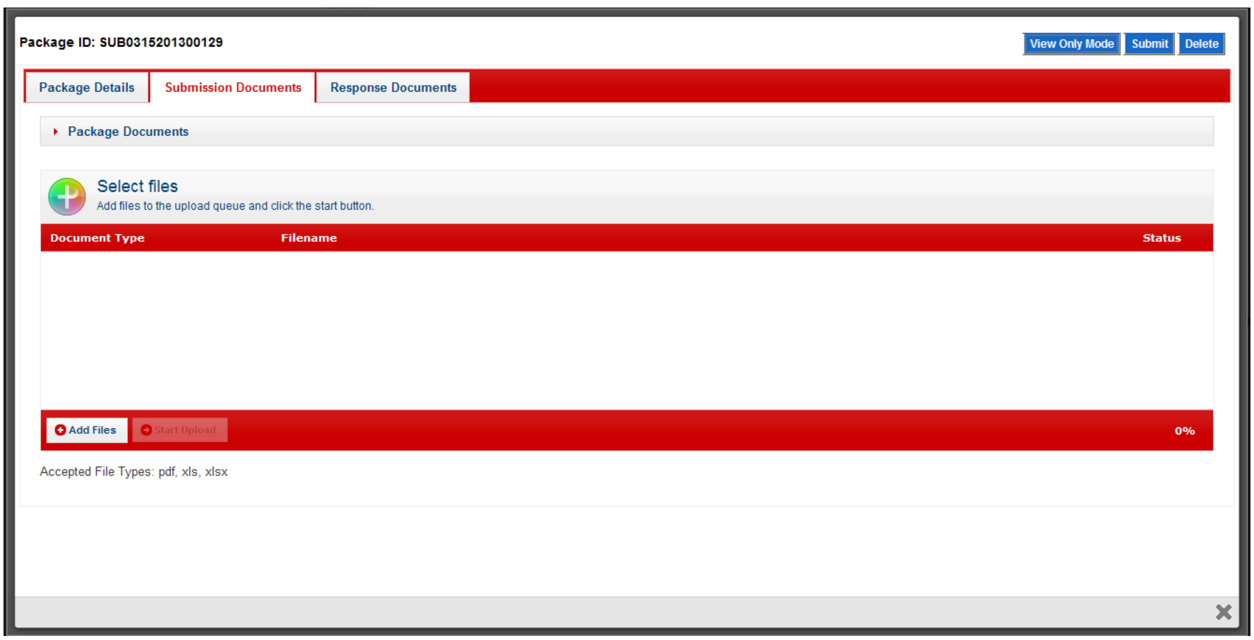
8. Once the downloading action is completed, the user will see all the documents has shown below:

Figure 61: Delete Uploaded Documents on a Draft Package



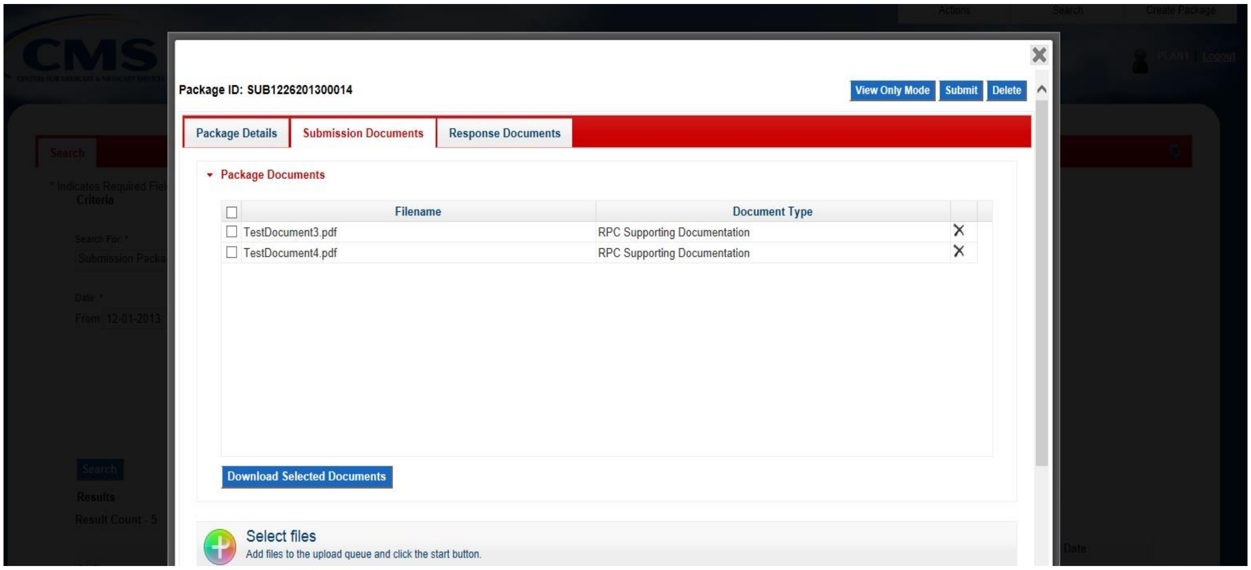
9. **Action**: Select **Update Mode**.

Figure 62: Delete Uploaded Documents on a Draft Package



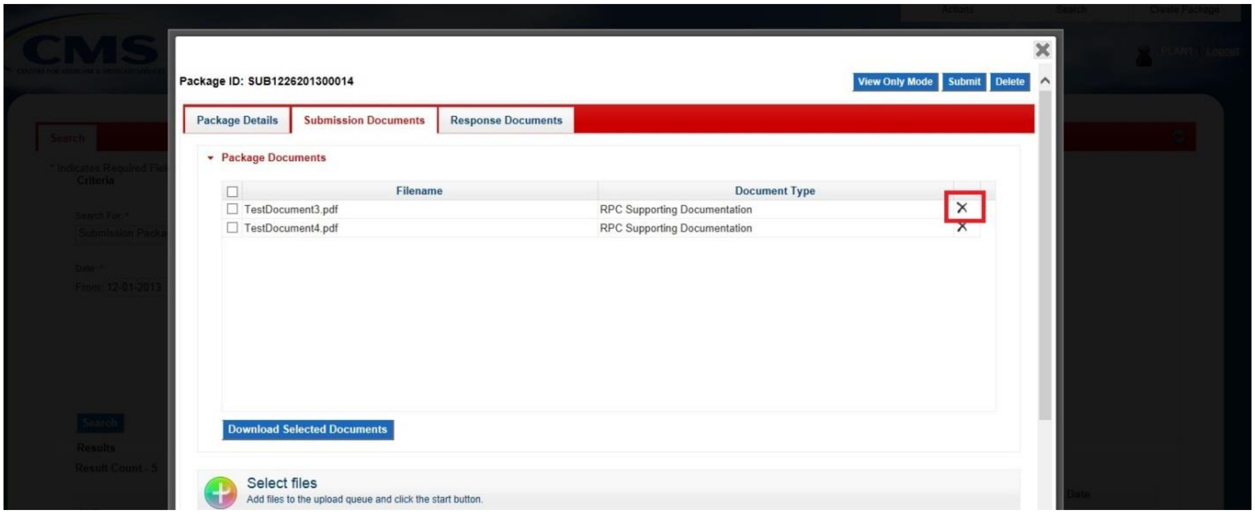
10. **Action**: Expand Package Documents by selecting the red arrow next to it. Depending on the speed of the internet the users may see the downloading sign.

Figure 63: Delete Uploaded Documents on a Draft Package



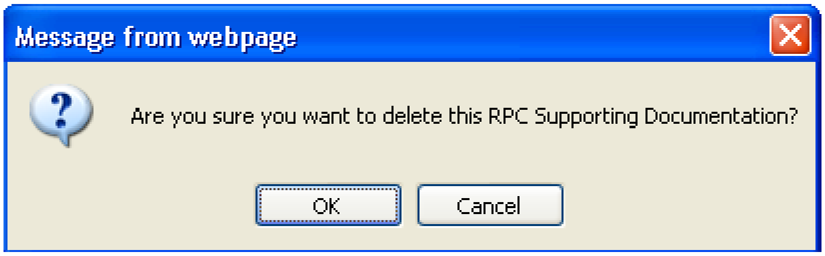
11. **Action**: Select the delete sign as shown below to delete a document.

Figure 64: Delete Uploaded Documents on a Draft Package



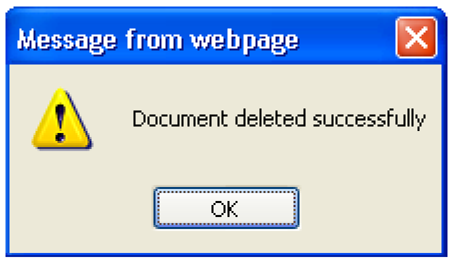
12. **Action**: The user will be displayed with a pop-up message as shown below. Select **OK** to delete the document.

Figure 65: Delete Uploaded Documents on a Draft Package



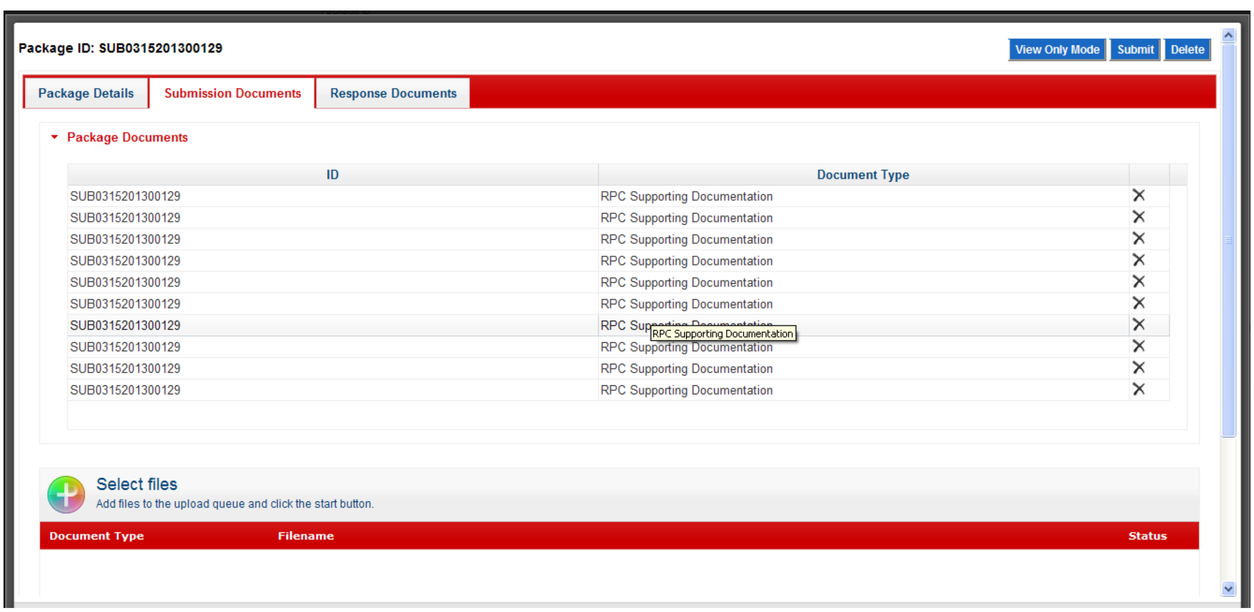
13. **Action**: On successful deletion the user will be displayed with a pop up message as shown below. Select OK to close the pop-up message.

Figure 66: Delete Uploaded Documents on a Draft Package



14. The document will be permanently deleted in the eRPT application and the document will disappear from the user interface as shown below:

Figure 67: Delete Uploaded Documents on a Draft Package



15. If you want to delete additional documents repeat step 12 to 14. If you want to update the package and add additional documents repeat step 11 to 14 from section 4.3.5

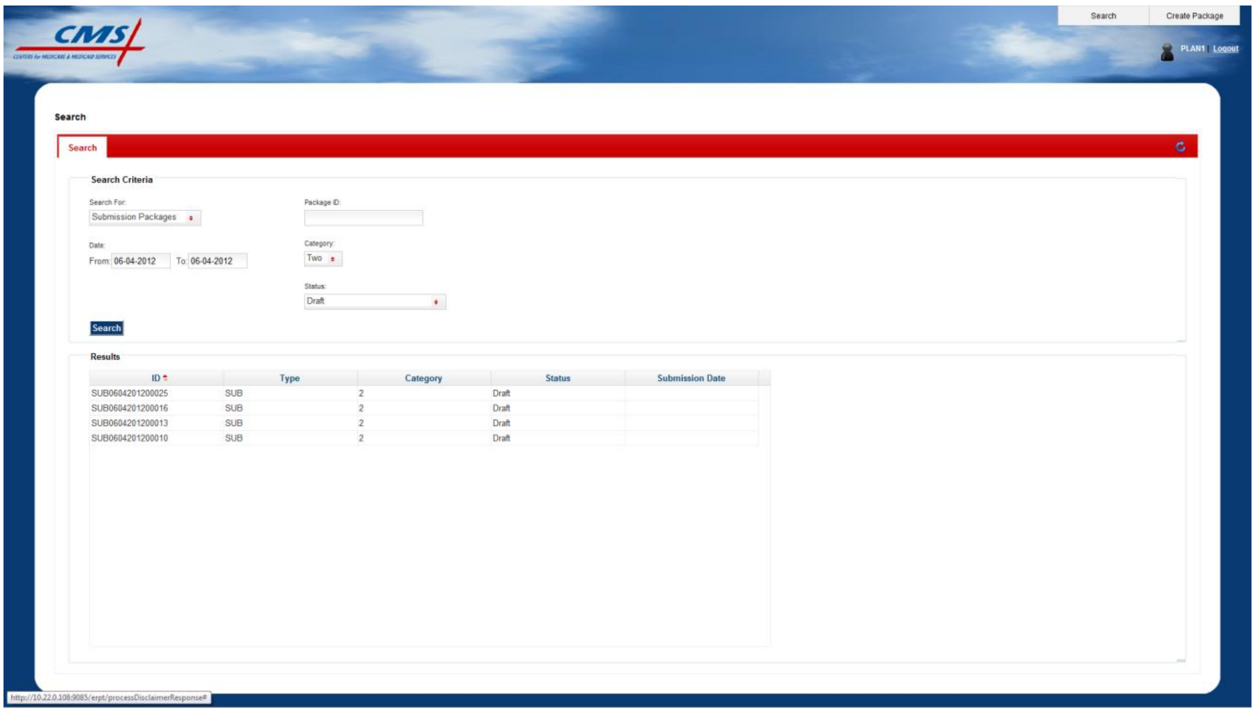
4.3.7 Steps to delete a Draft Package

Note: Only Packages in 'Draft' status can be permanently deleted.

When a Package in Draft status is deleted from the eRPT application it will be permanently deleted from the application and cannot be retrieved. A draft Package can be deleted only by the Package Creator.

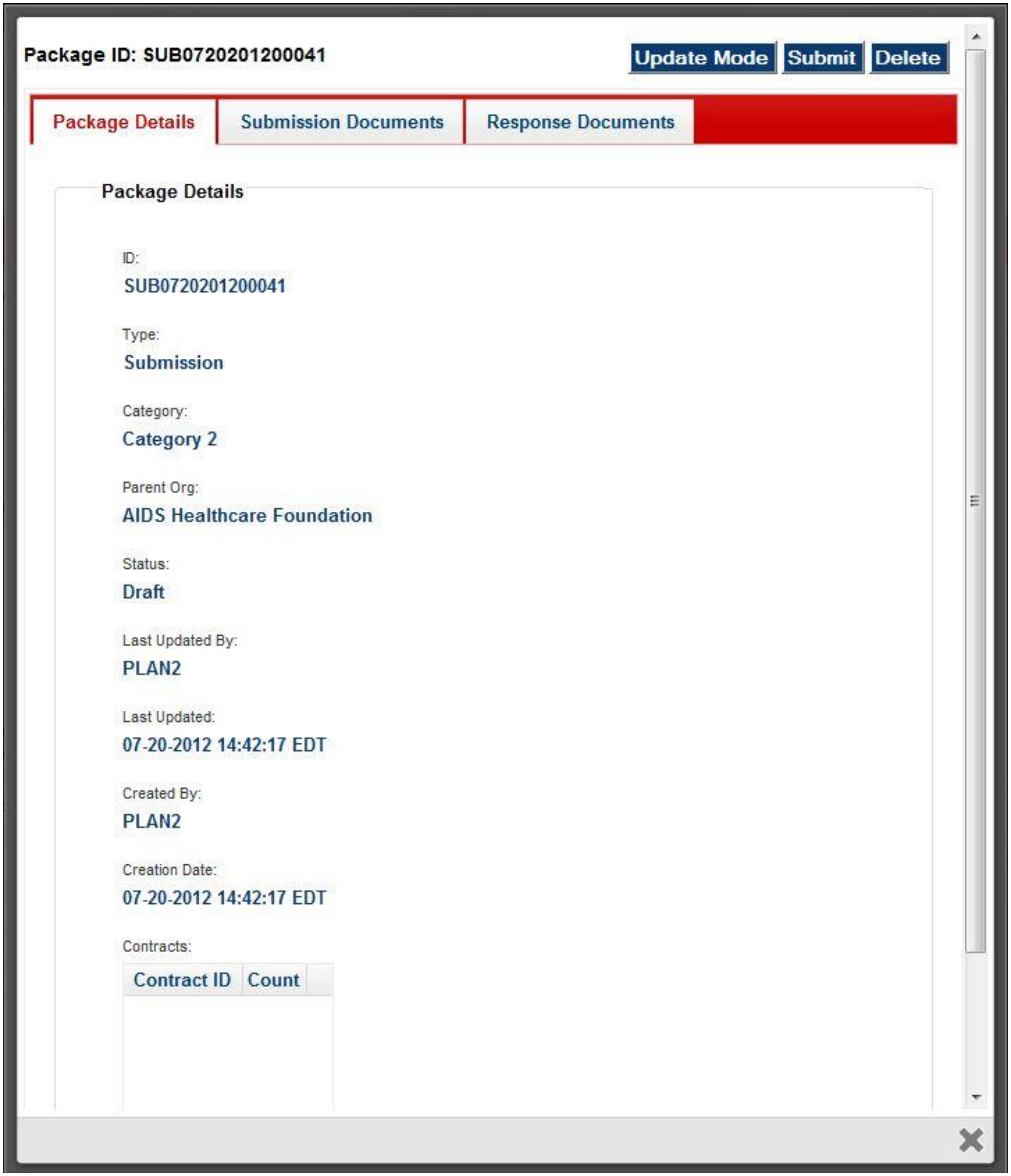
1. Login to the eRPT application.
2. **Action:** Select ***Search***.
3. Enter the search criteria as shown in section 4.3.3 to retrieve the Package.
4. **Action:** Select ***Search***.

Figure 68: Delete a Draft Package



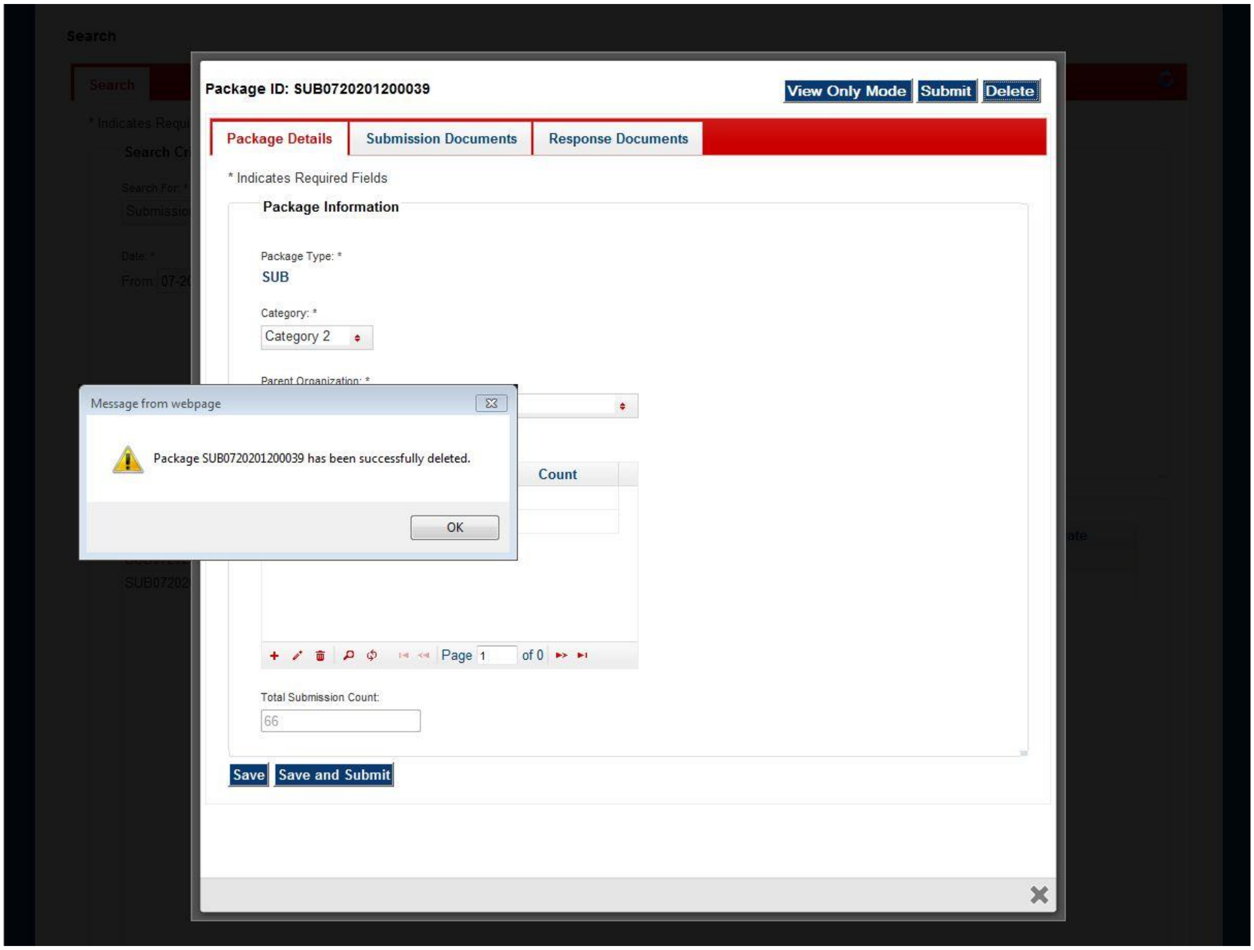
5. **Action:** Open the Package that you want to delete by double clicking on the Package.

Figure 56: Delete a Draft Package



6. **Action**: Select ***Delete*** button on the top right hand corner of the screen. The following message will be displayed:

Figure 70: Delete a Draft Package



7. **Action**: Select ***Ok***.

4.3.8 Tracking a Package

A Package can be tracked in the eRPT application by referring to the status of the Package. The following are the status values that are supported in the eRPT application:

- **Draft** –When a Package has been created but not yet submitted within the eRPT application.
- **Pending Approval**- When a Package is submitted by the Plan Users but is awaiting Approval Letter from the RO Account Manager or CMS Central Office. This status is applicable only for a Category 3 and Special Submission Package.
- **Open**- When a Submission Package is submitted to eRPT and ready for the RPC to download or when a Review Package is uploaded for a Plan User to respond.
- **Completed**- When a EDV review Package is submitted by the Plan user with all of the Response documents.
- **Downloading**- When the RPC is downloading the Package.
- **In Process**- When the RPC is processing the Package.

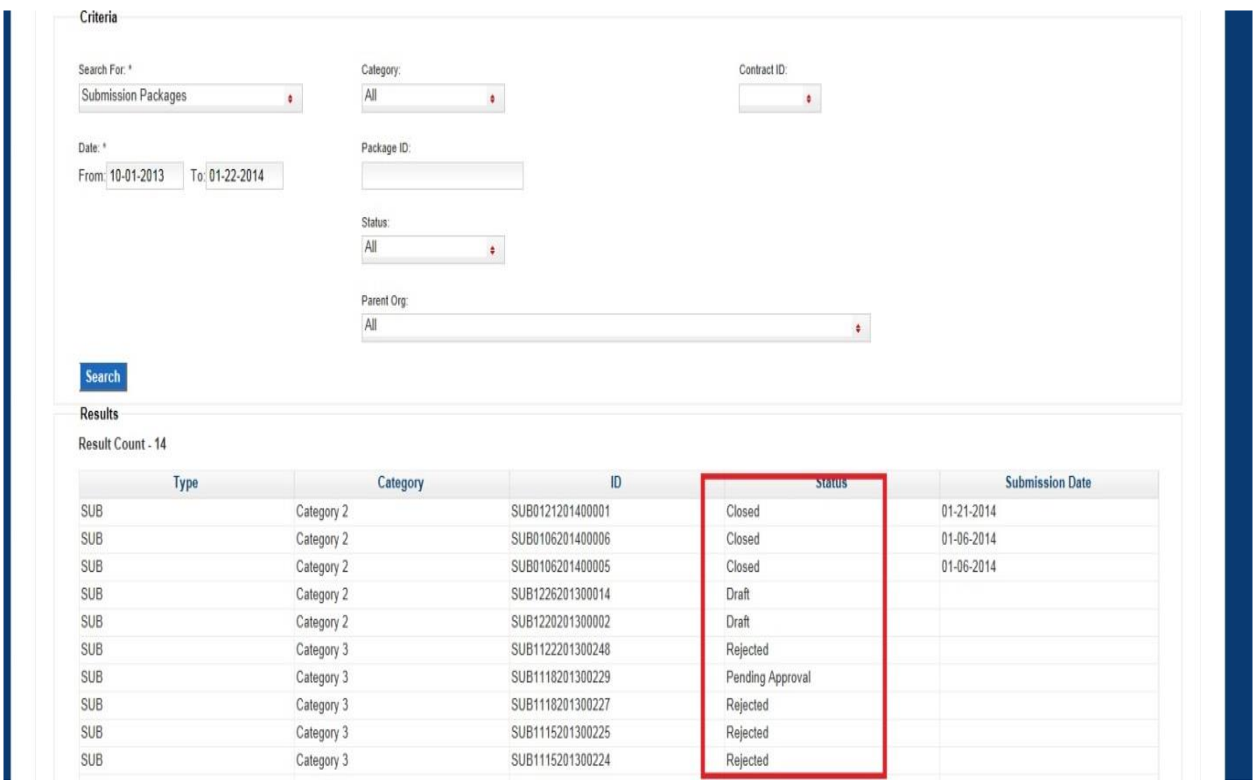
- **<u>Closed</u>**- When a Package review has been completed by the RPC, the Package status will be marked as closed.

1. **Action**: Select ***Search*** on top right of the screen.
2. **Action:** Select following options for Search Criteria:
    a. ***Search For*** - Select Submission Package from the dropdown.
    b. ***Date***
        i. ***From*** - Enter the beginning date for search.
        ii. ***To*** - Enter the end date for search.
    c. ***Package ID*** - For our example we will leave it blank.
    d. ***Category*** - Category 2 (Default value for Submission Package Search).
    e. ***Status*** - Select 'All' from the dropdown.
    f. ***Parent Organization***: - Select 'All' from the dropdown.

Note: The fields required in the search criteria are marked with an asterisk (*).

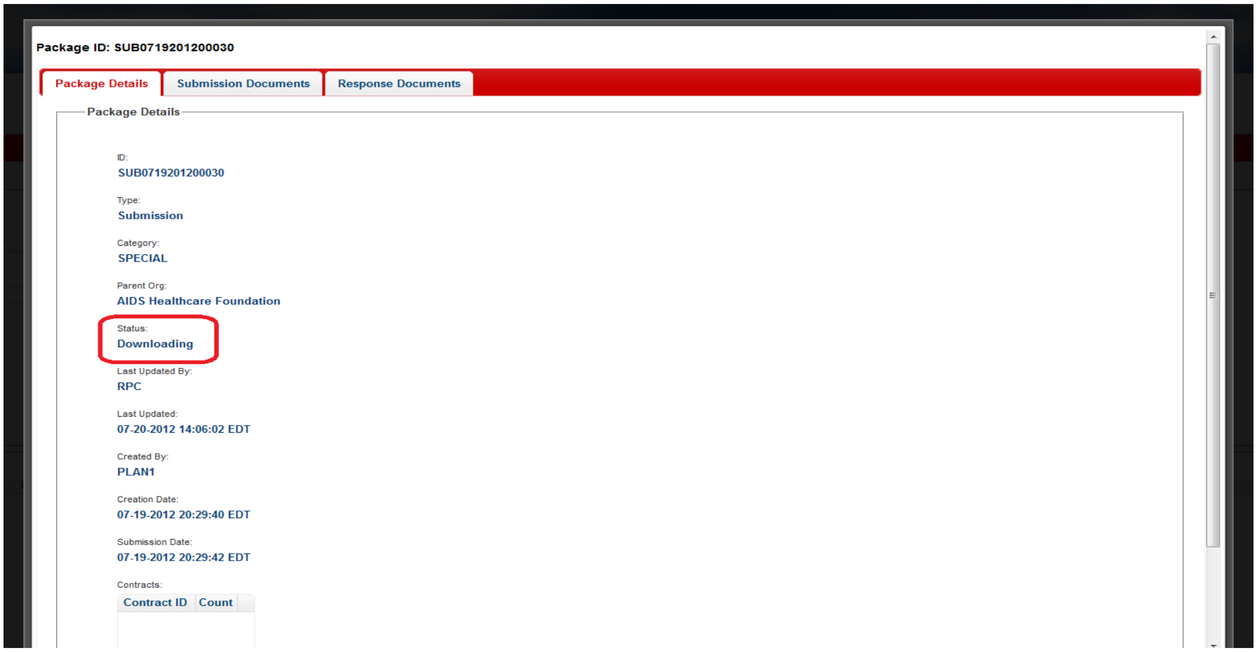
3. **Action**: Select **Search**.
4. A user can view the status of a Package in the Results grid as shown below:

Figure 71: View Package Status



5. The user can double click on a Package to view the Package Details. The status of that Package will be displayed as shown below:

Figure 57: View Package Status in Package Details



6. The ***Status*** field confirms the Package is in a *Downloading* status.

4.3.9 View Response Documents added by the RPC via Actions

All Submission and Transaction Inquiry Packages submitted to the eRPT application by the Plan Users will be available for the RPC users to download and provide Response documents. Following are the Response Documents that are added by RPC for Plan users:

- Final Disposition Reports (FDR)
- RPC Error Report Notification
- RPC File Upload Error Report
- RPC Transaction Inquiry Response

All response documents to a submission Package are added for a particular Plan contract. The response documents added on a package can be viewed only by users who have access to the package. When a response document is added by the RPC contractor, the package creator and proxy user will receive a notification within the eRPT application and an email in their email account with similar message. Following are the different notifications the users will receive when a response document is added by RPC for a submission Package,

- There is an FDR(s) uploaded by RPC for Package {0}
- There is an Error Report uploaded by RPC for Package {0}
- There is an Inquiry Response uploaded by RPC for Package {0}.

The Package creator and proxy users will receive the following action when he/she receives a response document from RPC for a Transaction Inquiry Package:

- There is an Inquiry Response uploaded by RPC for Package {0}.

Note: {0} holds the Package ID to which the response document was added by RPC.

In addition to the above response documents, RPC will also add Follow-on FDR document. The Follow-on FDR document will be an independent document and will not be added to a Package. The Follow-on FDR document will be added for a contract number and all the users who have access to the contract number will receive an action/notification and an email notification and will have access to the document. The plan user will receive the following message for follow-on FDR:

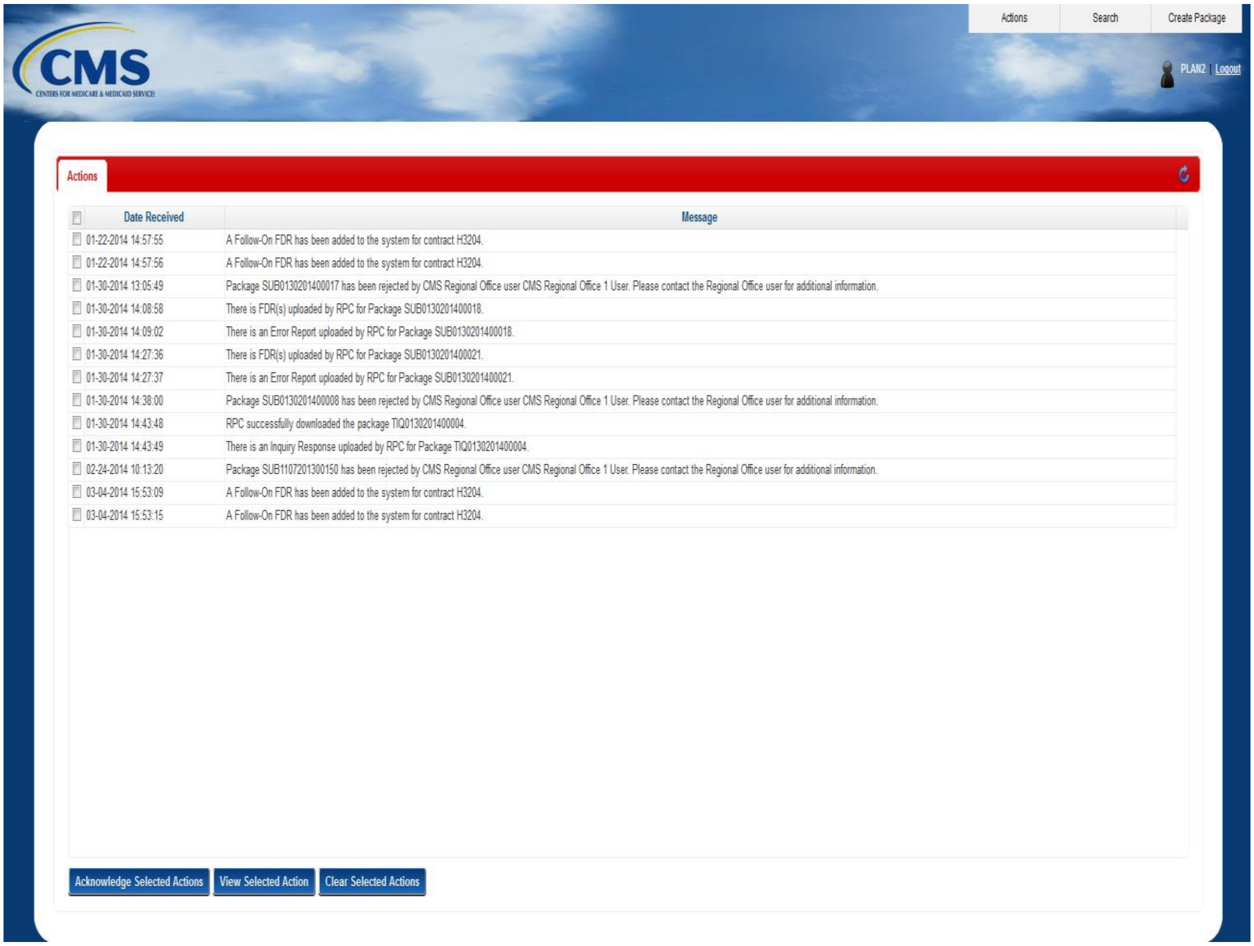
- A Follow-On FDR has been added to the system for contract {0}.

Note: {0} holds the Contract ID to which the Follow-on FDR document was added by RPC.

In this section, we will discuss the steps to view response documents added by RPC via the action list.

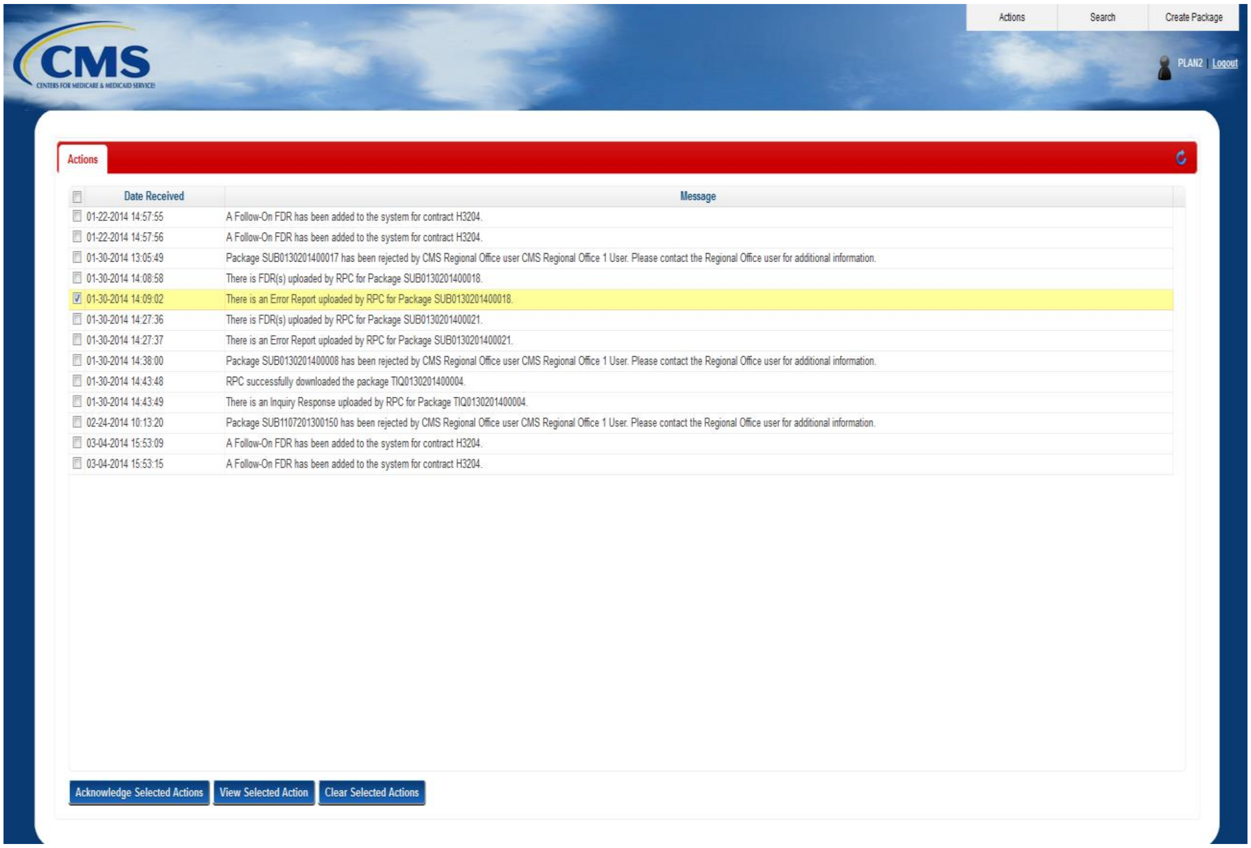
1. Login to the eRPT application.
2. The Actions tab will be the landing page for the users and will display the lists of actions for the user.

Figure 58: View Response Documents via Actions



3. **Action:** To view the document the user should select a checkbox for the action that they would like to view. For our example let's select action for Error Report.

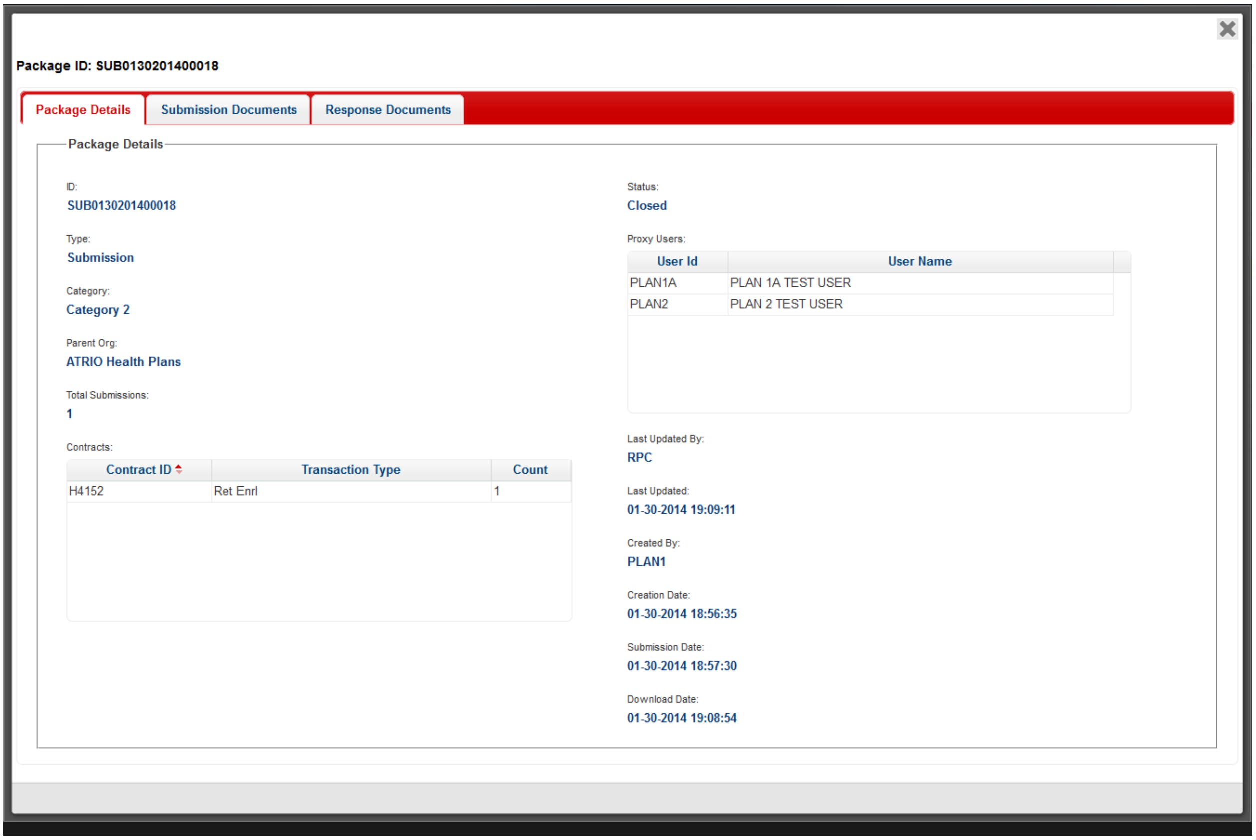
Figure 59: View the Response Documents via Actions



4. **Action**: Select the ***View Selected Action*** button.
5. The Package will be displayed to the user.

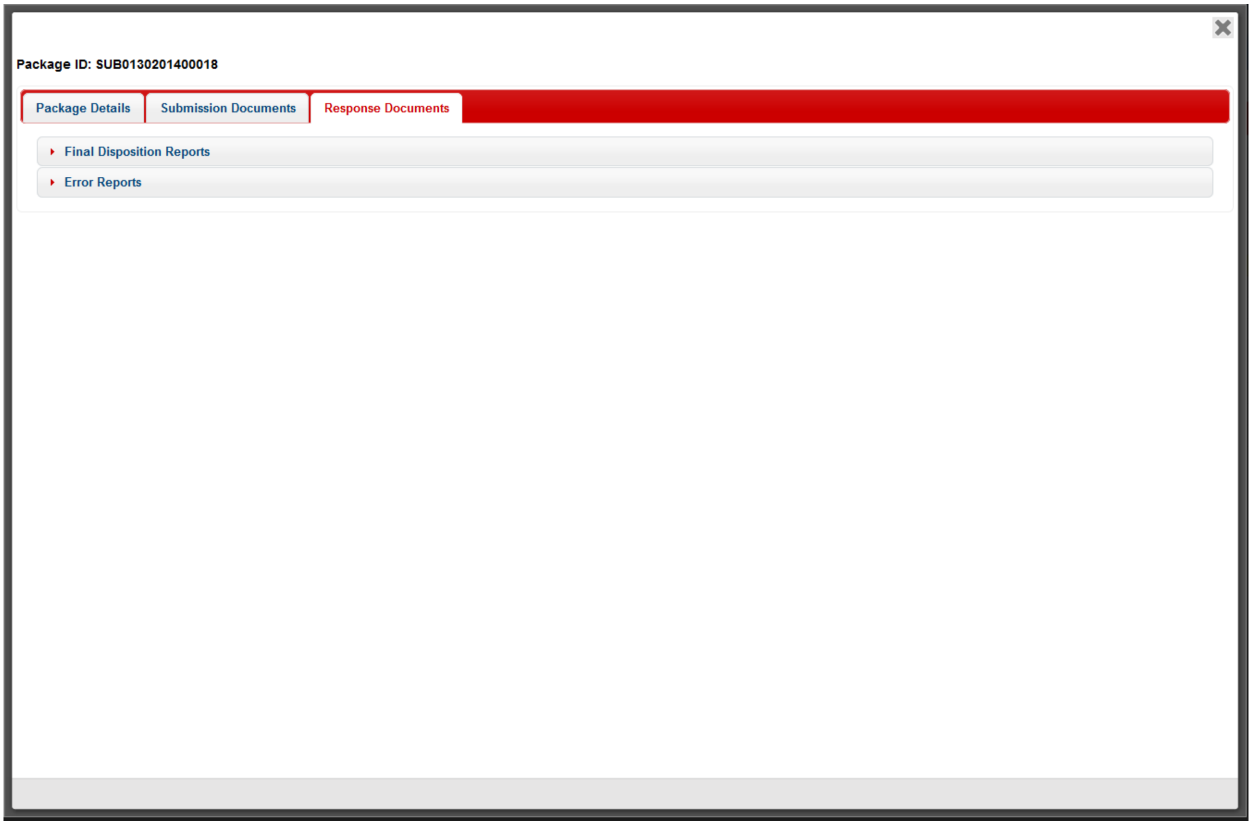
Note: Here if the document is not added on the package for example Follow-On FDR, then the document will be displayed to the user.

Figure 60: View Response Documents via Actions



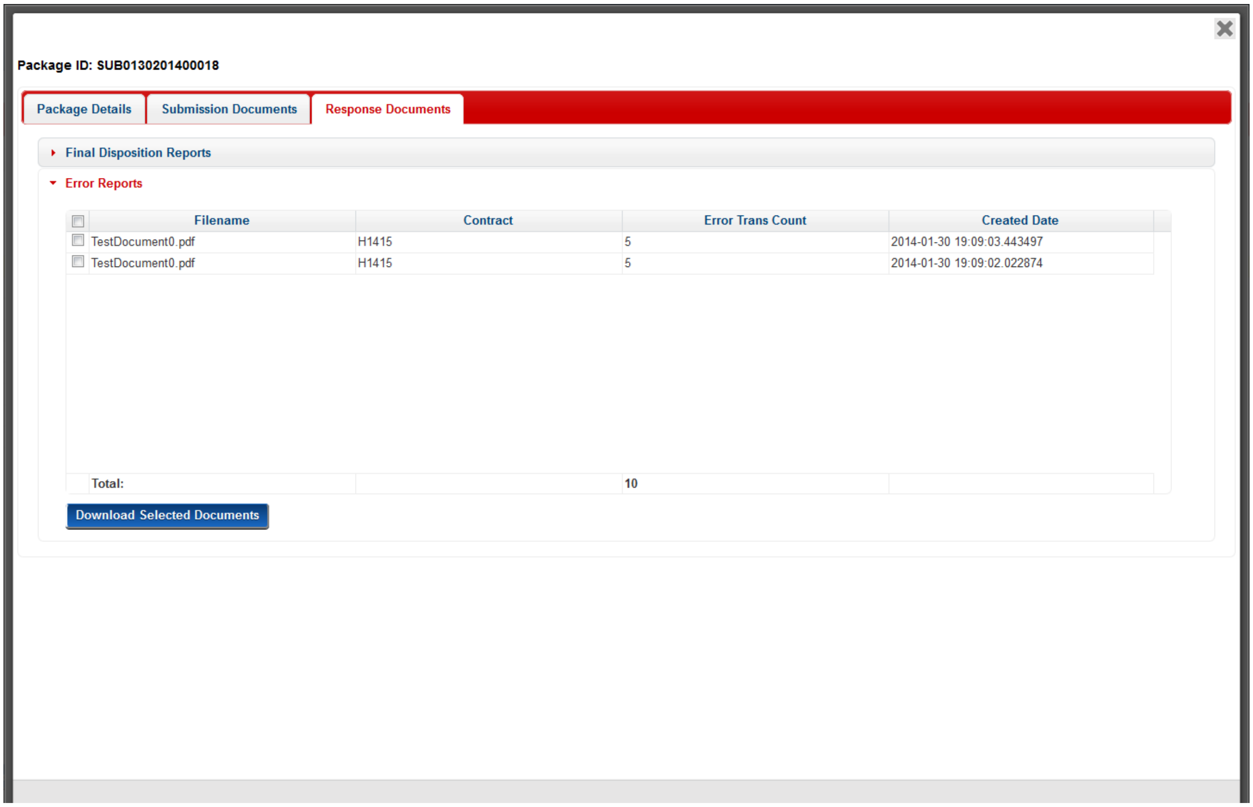
6. **Action:** Select Response Documents Tab to view the documents added by RPC.

Figure 61: View Response Documents via Actions



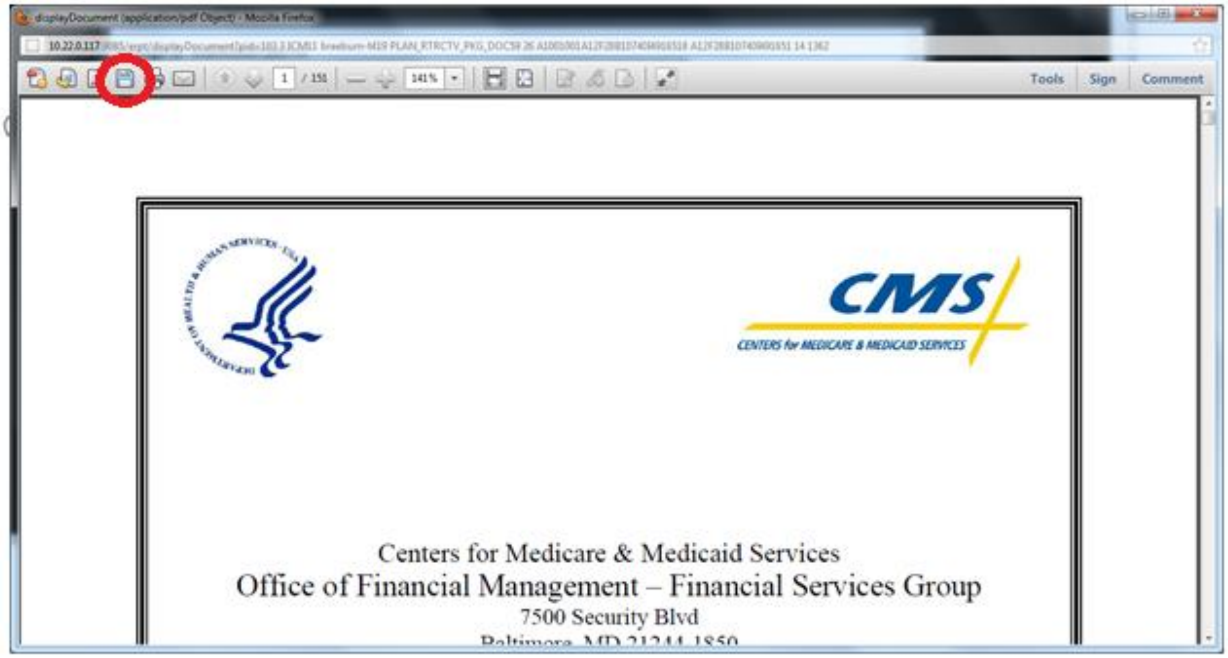
7. **Action**: Expand Error Reports selection to view the documents as shown below:

Figure 62: View Response Documents via Actions



8. The user will be able to view all the error report documents added by the RPC.
9. **Action**: To open and view the documents double click on the document to view it. Download the document to the local computer by using the ***Download Selected Documents*** button selecting the ***Save*** *icon* as shown below:

Figure 63: View Response Documents via Actions



4.3.10 Search & View Response Documents

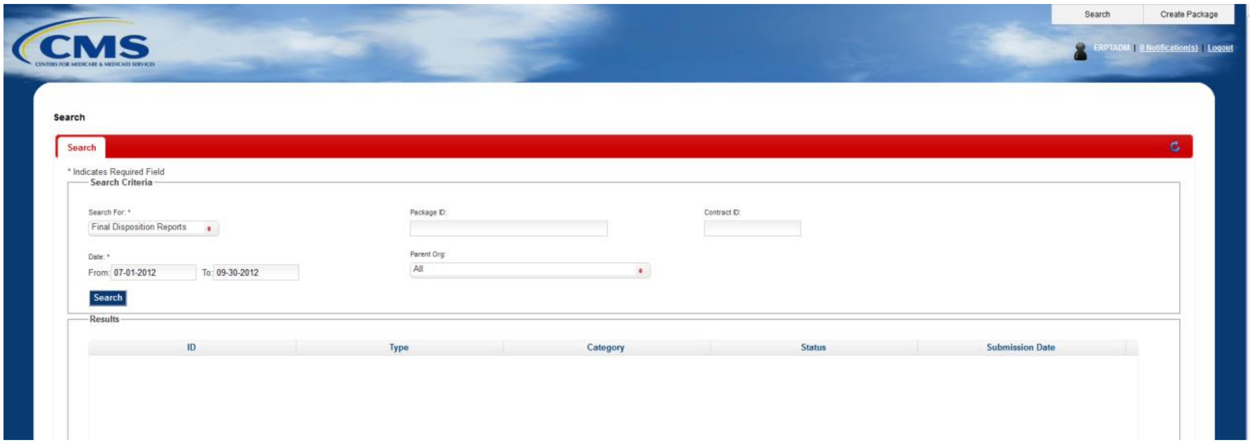
The Search feature in the eRPT application can also be used for searching the following types of documents:

- Final Disposition Reports
- Follow-on Final Disposition Reports
- Error Reports
- Letters

In this section, we will discuss the steps to search and view documents.

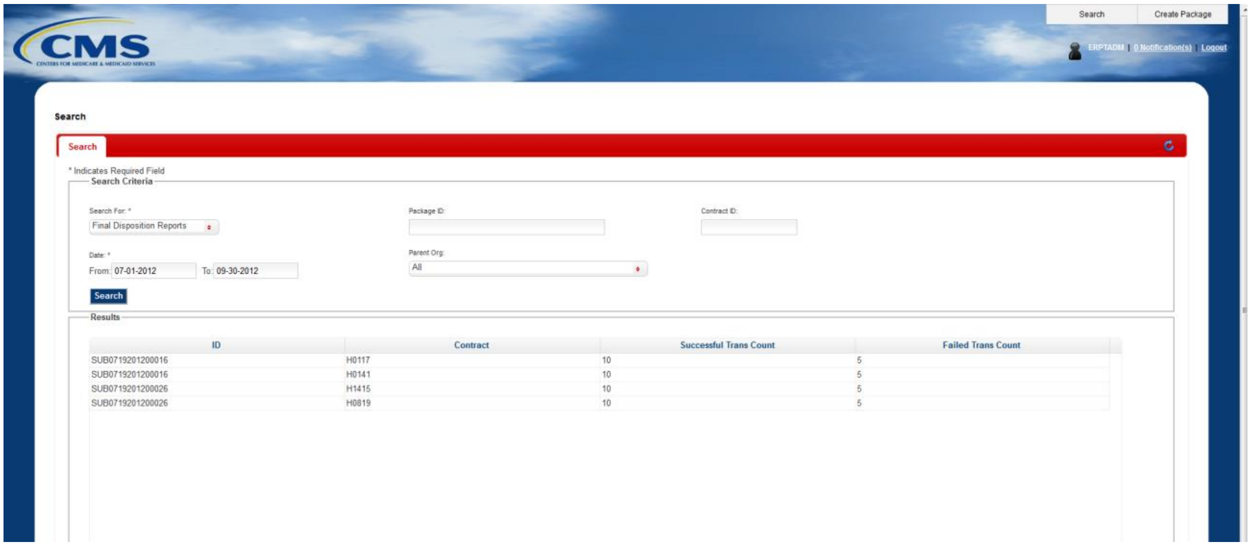
1. Login to the eRPT application.
2. **Action**: Select ***Search***.
3. Enter the search criteria to retrieve the response documents,
   a. ***Search For*** - Select Final Disposition Reports from the dropdown
   b. ***Date***
      i. ***From*** - Enter the beginning date for search
      ii. ***To*** - Enter the end date for search
   c. ***Package ID*** - For our example we will leave it blank
   d. ***Parent Organization***: - Select 'All' from the dropdown.
   e. ***Contract ID*** - For our example we will leave it blank

Figure 81: Search & View Response Documents



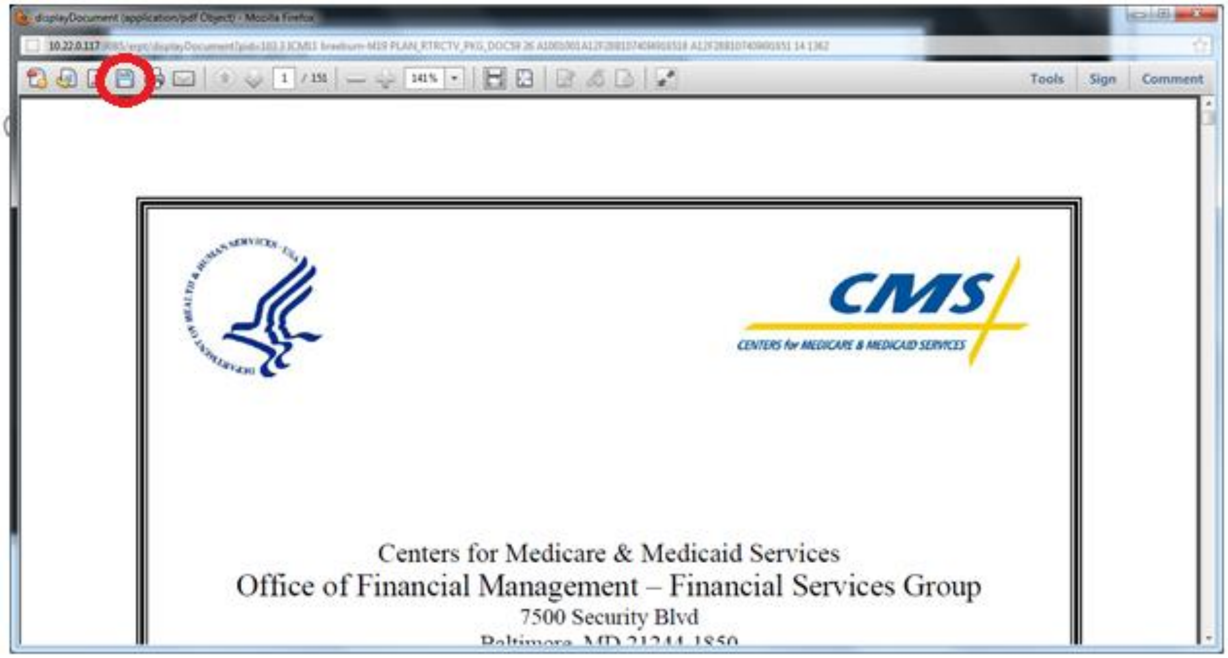
4. **Action**: Select ***Search***.
5. The results meeting the search criteria will be displayed in the result grid.

Figure 64: Search & View Response Documents



6. **Action:** Double click on the document in the result grid to view it. The document will open as shown below. Download the document to the local computer by selecting the ***Save*** *icon* as shown below:

Figure 83: Search & View Response Document



4.3.11 Add Response Documents to Review Package

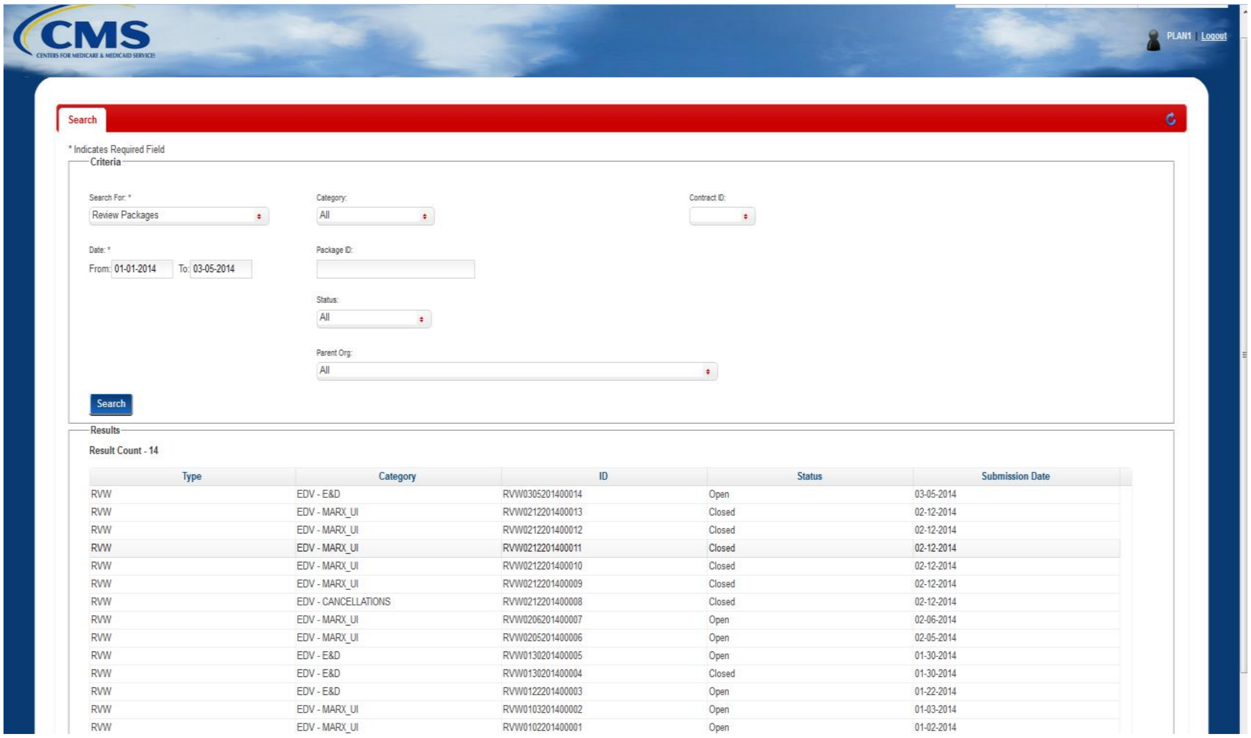
Responses to Review Packages include Plan documentation supporting EDV Review Requests, or other Reviews designated by CMS. In the following section we will discuss how a Plan User can:

- Search for Review Packages
- Access Review Packages via Actions
- Complete Review Packages with Response Documents

4.3.11.1 Search for Review Packages

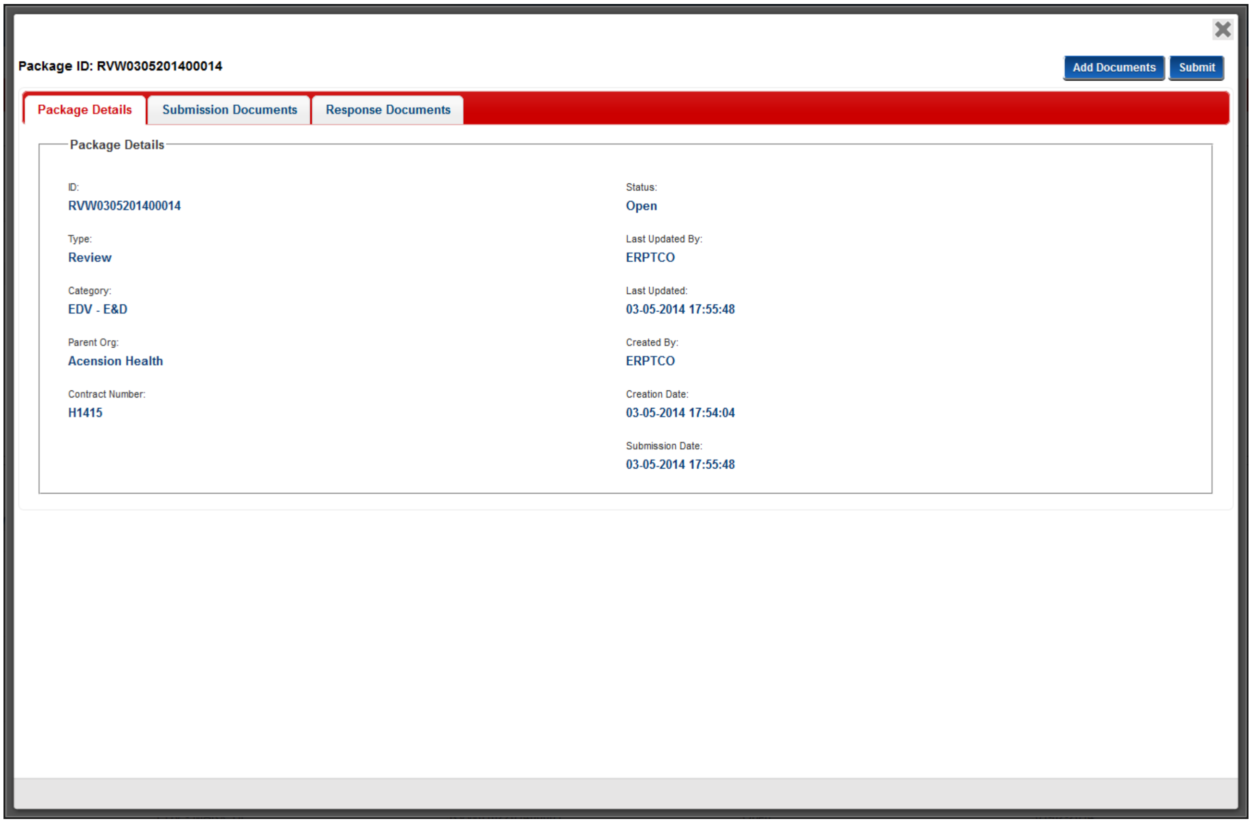
1. Login to the eRPT application.
2. **Action:** Select ***Search*** on top right corner of the screen.
3. **Action:** Enter following search criteria to perform the search:
    a. ***Search For***: Select Review Package from the drop down.
    b. ***Date***: Select the date range for the search. Use the date available in the notification to determine the date range for the Review Package.
    c. ***Package ID*** - Package ID can be found from notifications.
    d. ***Category***: Select the appropriate Category Code. The Review Package Category will be available in the notifications.
    e. ***Status***: Select Open from the drop down.
    f. ***Parent Org***: Lists all the Parent Organizations.
    g. ***Contract ID***: It is an optional field. Enter the contract ID.
4. **Action**: Select ***Search***.
5. Search results will be displayed in the results grid.

Figure 65: Search Review Package



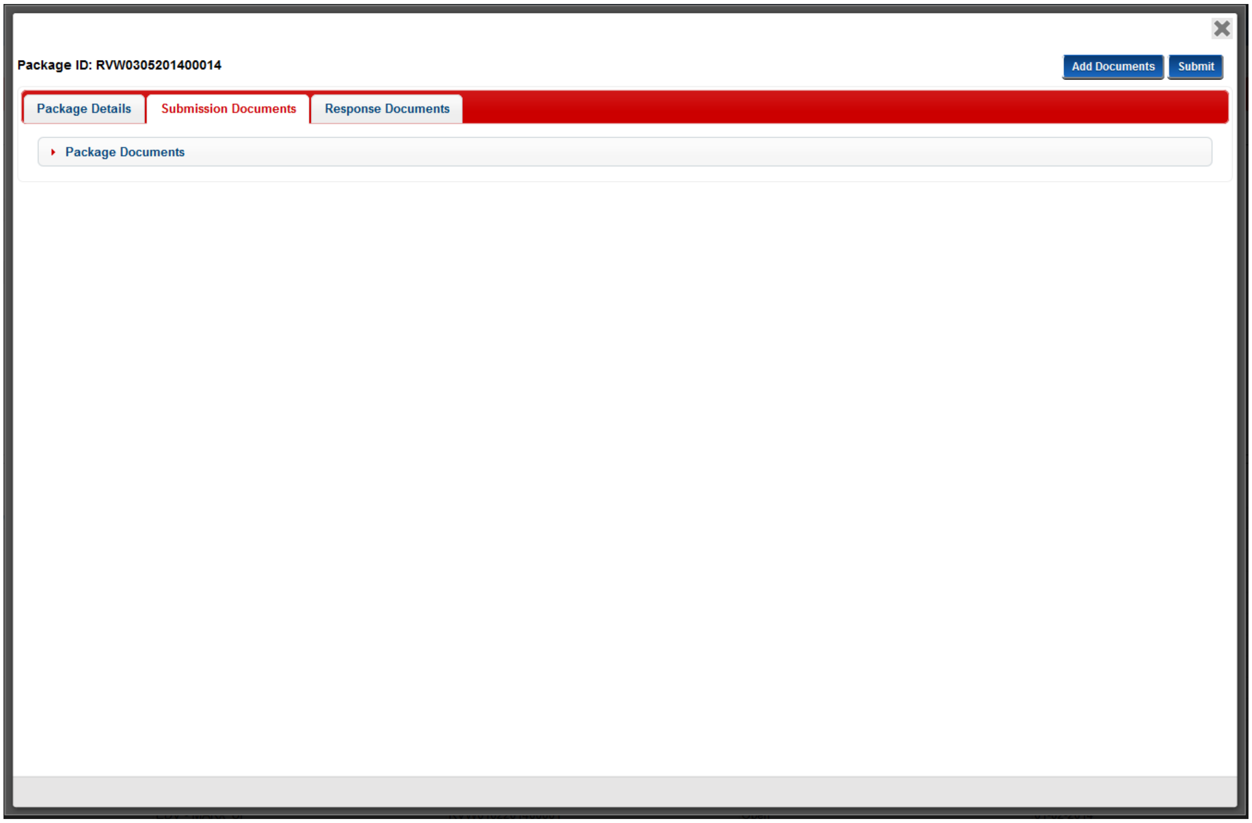
6. Double click on the EDV Review Package in the search results to open the Package. The Package will open as shown below:

Figure 66: Search Review Package



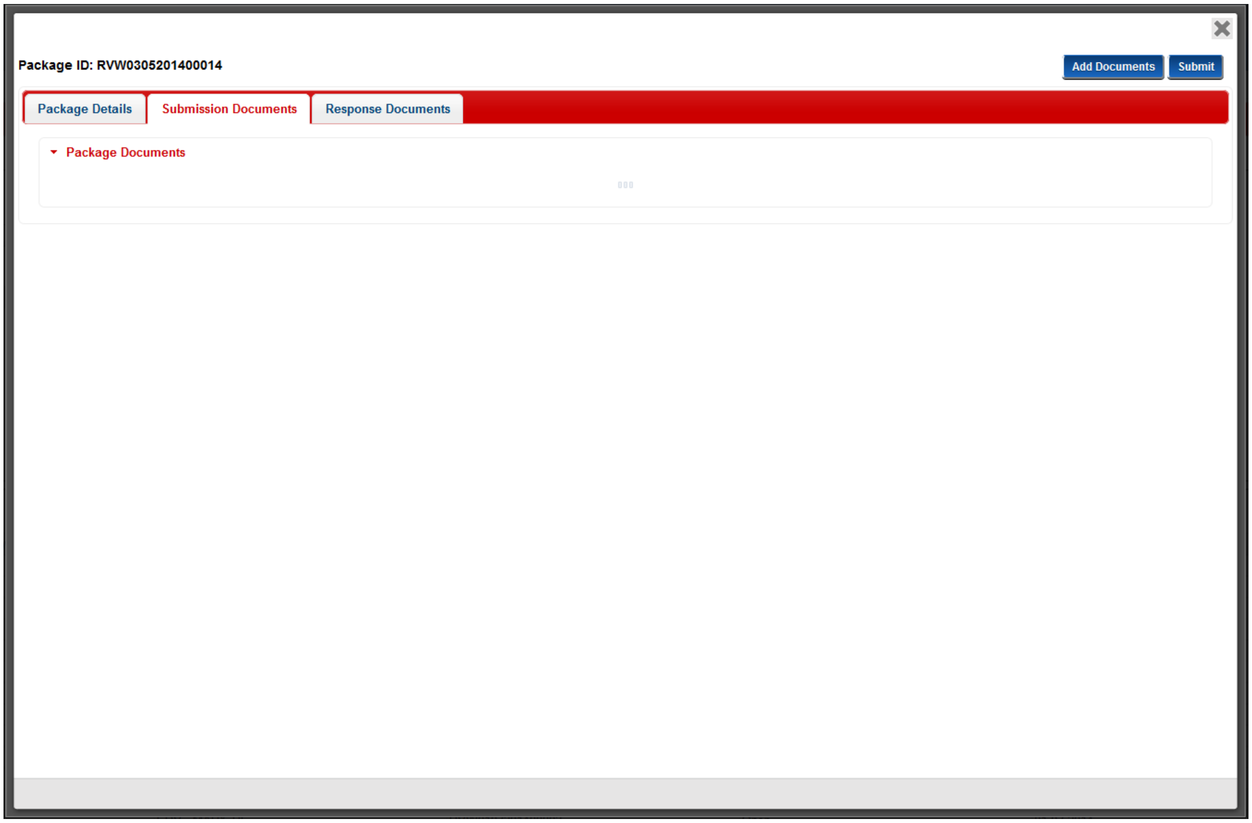
7. **Action**: Select Submission Documents tab.

Figure 67: Search Review Package



8. **Action**: Expand Package Document to view the documents submitted by RPC. Depending on the internet speed and size of the document users may see the following screen with downloading action:

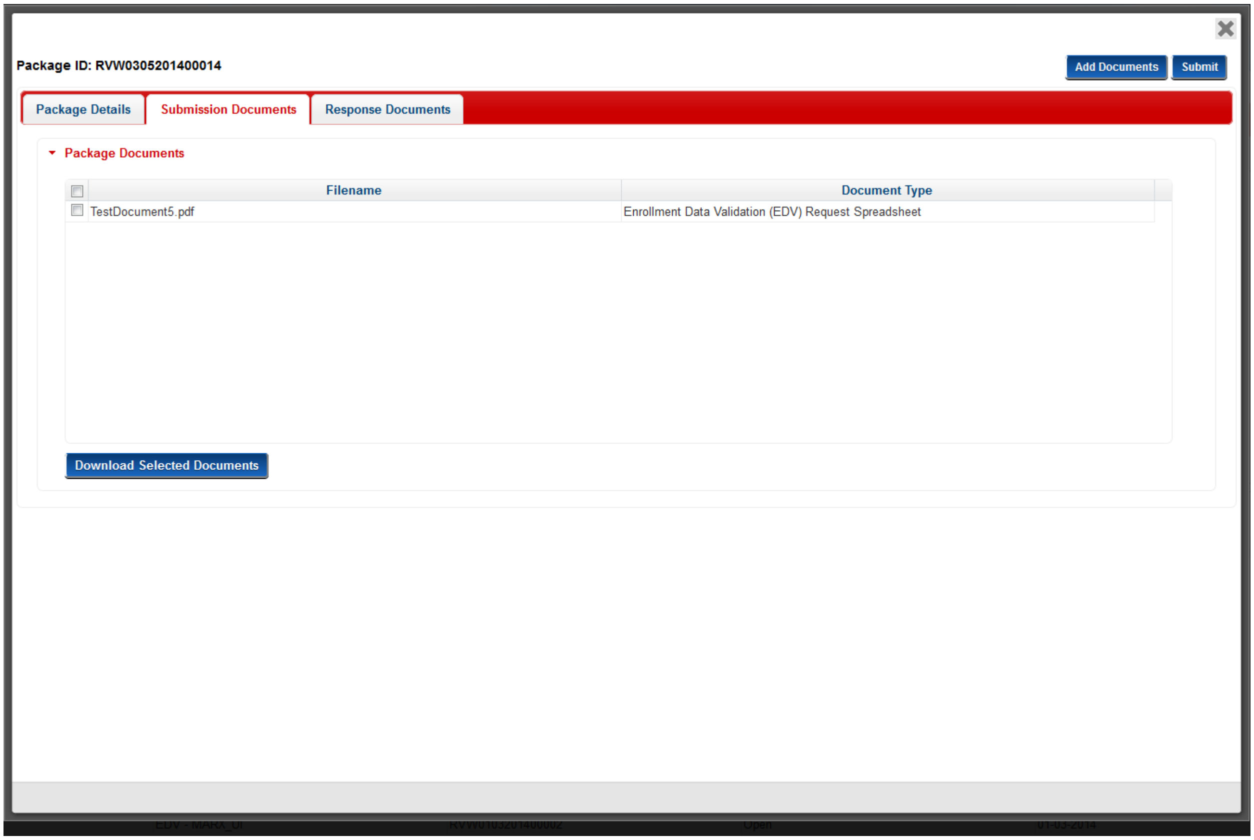
Figure 68: Search Review Package



Note: Please wait for the downloading action to be completed to view the documents.

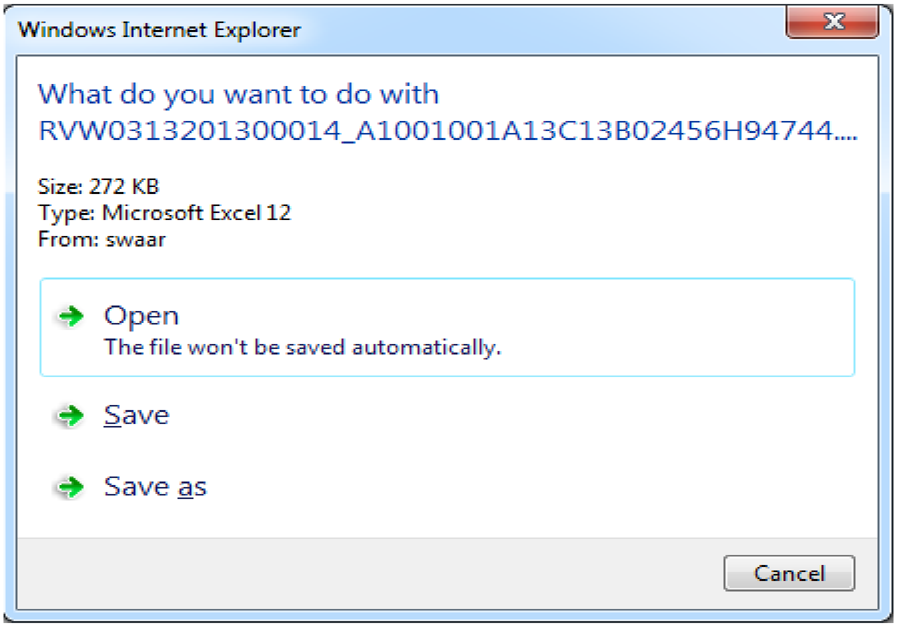
9. Once the downloading action is completed the documents submitted by RPC will display on the user interface as shown below:

Figure 69: Search Review Package



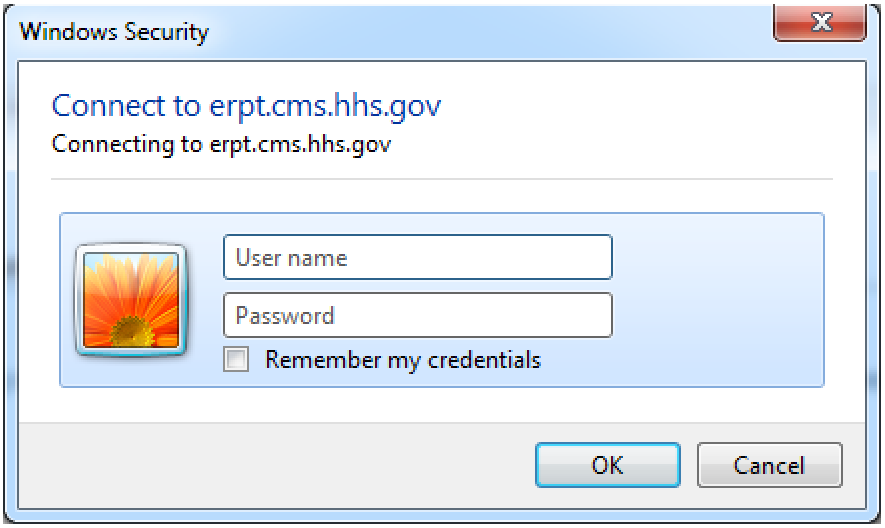
10. **Action**: Double click on the document to view it. Depending on the browser the user will see the following pop-up window

Figure 70: Search Review Package



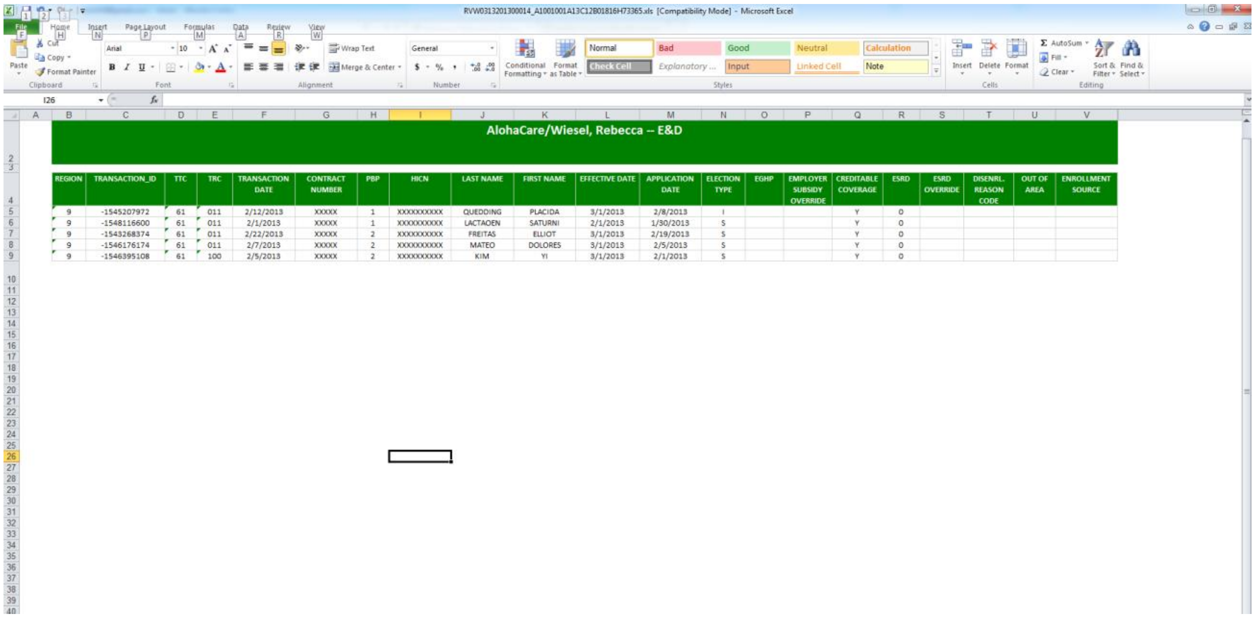
11. **Action**: Select ***Open***. Depending on the browser the user will see the following pop up window.

Figure 71: Search Review Package



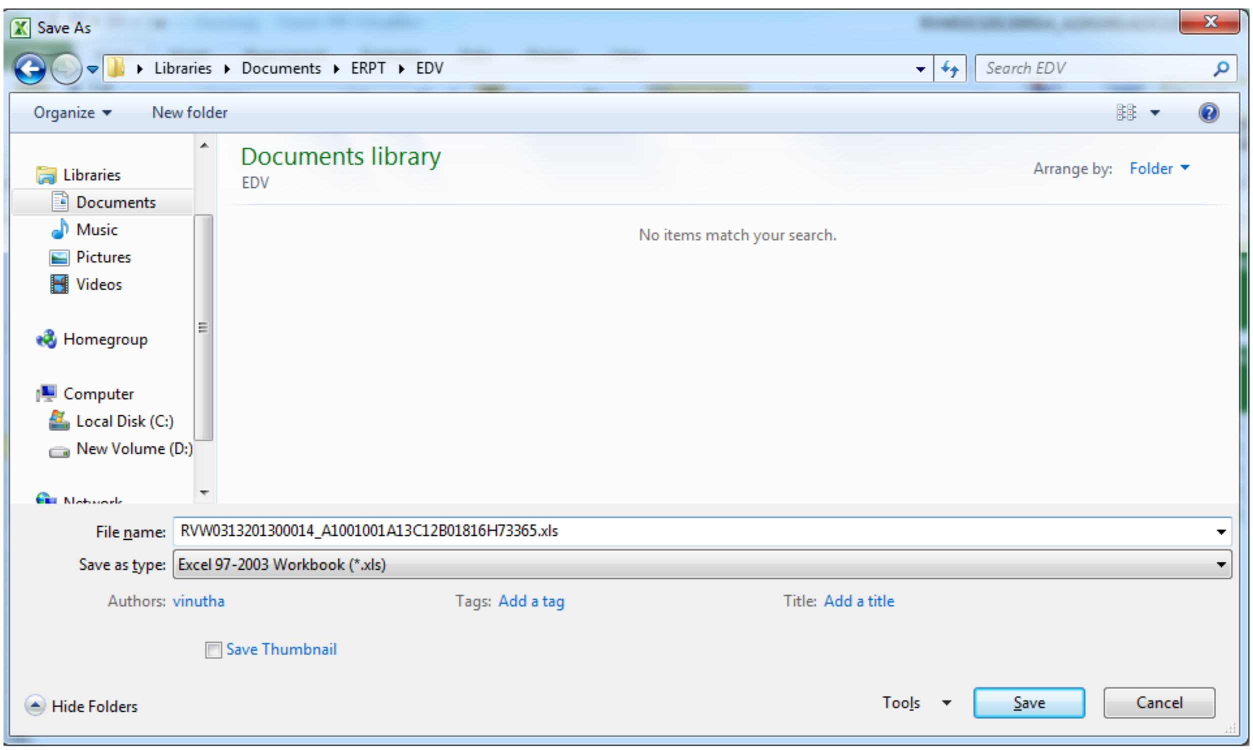
12. **Action**: Select ***Cancel***. The document will open has shown below.

Figure 72: Search Review Package



13. **Action**: To save the document to local repository. Select File -> Save As.

Figure 73: Search Review Package

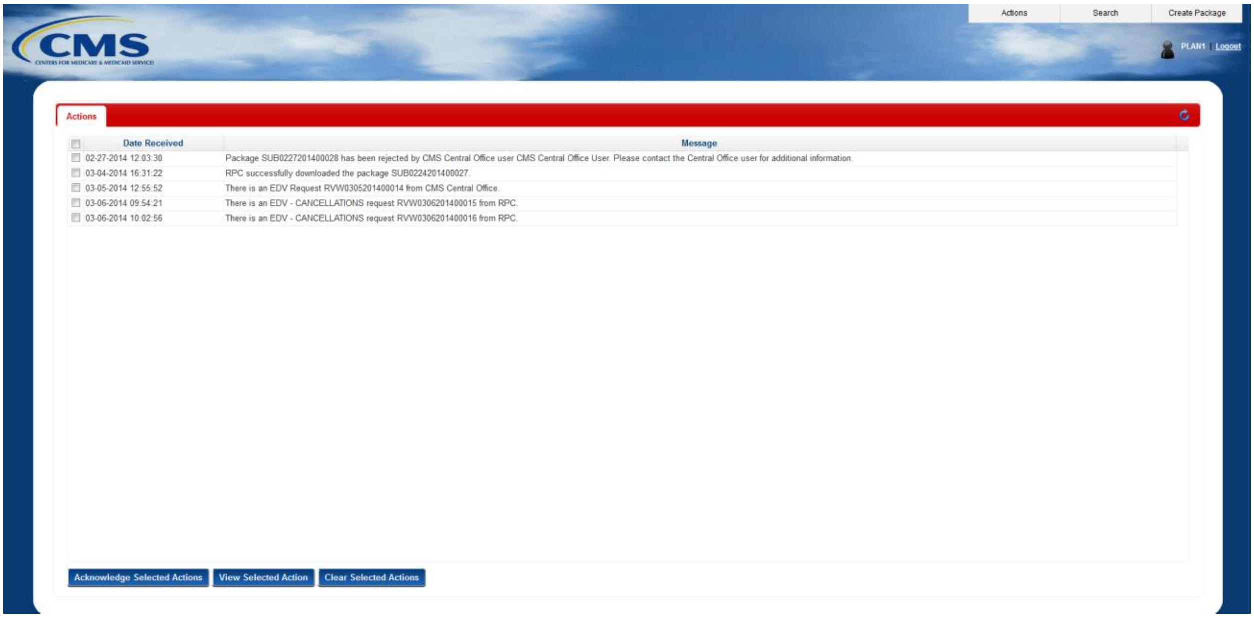


14. **Action**: Select ***Save***. The document will be saved in the local repository selected by the user.

4.3.11.2 Access Review Packages via Notifications

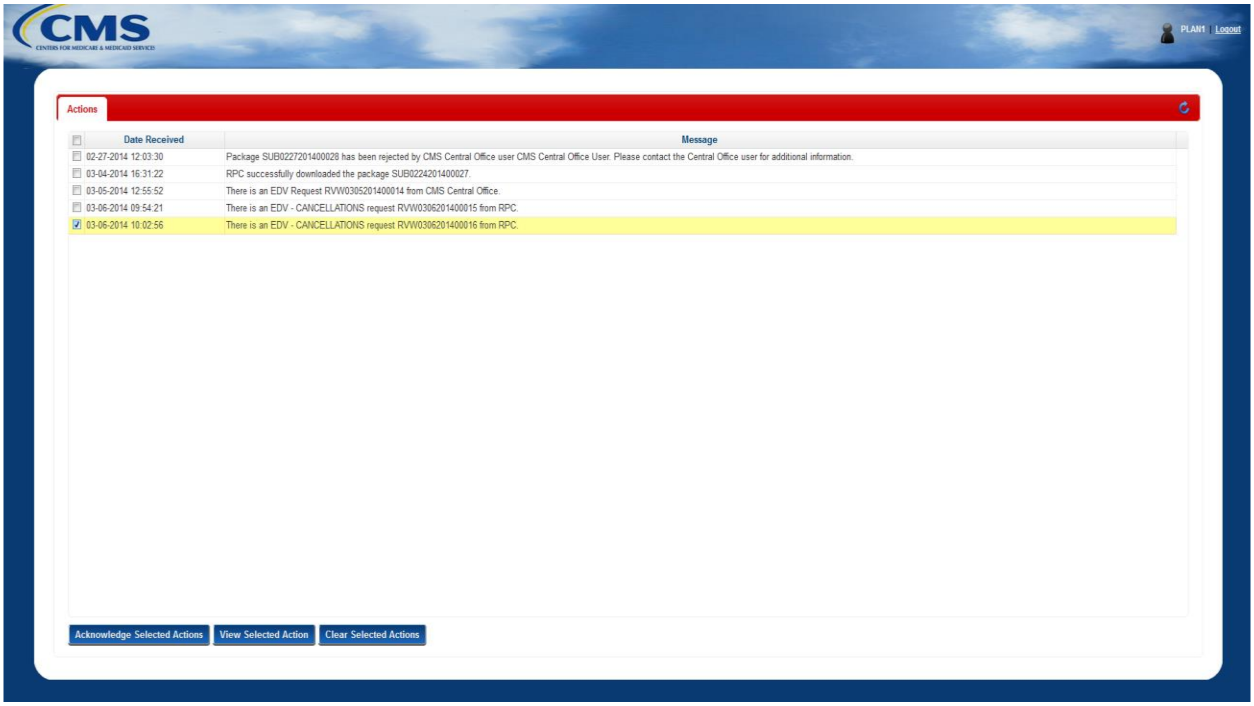
1. Login to the eRPT application.
2. The Actions will be the landing page for the users as shown below:

Figure 74: Access Review Package via Actions



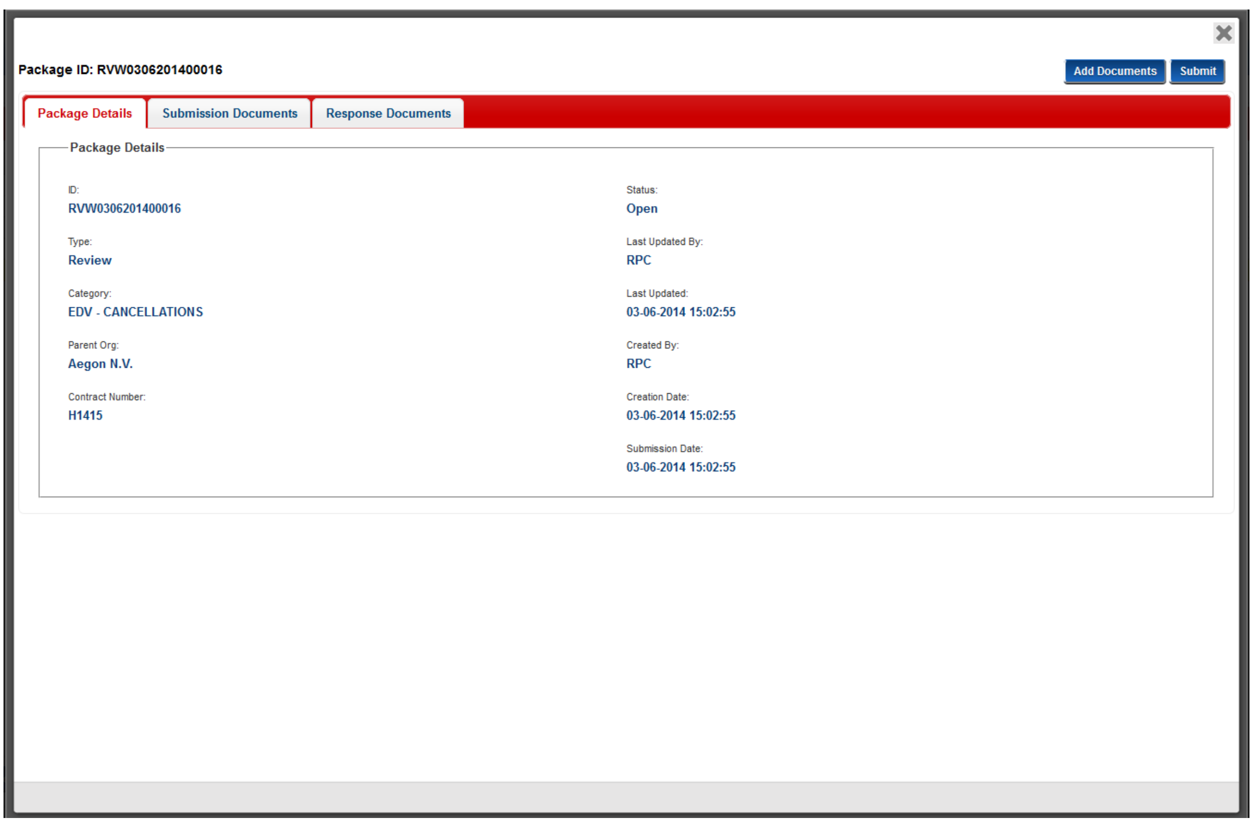
3. **Action:** Select a checkbox for the notification you would like to view.

Figure 75: Access Review Package via Actions



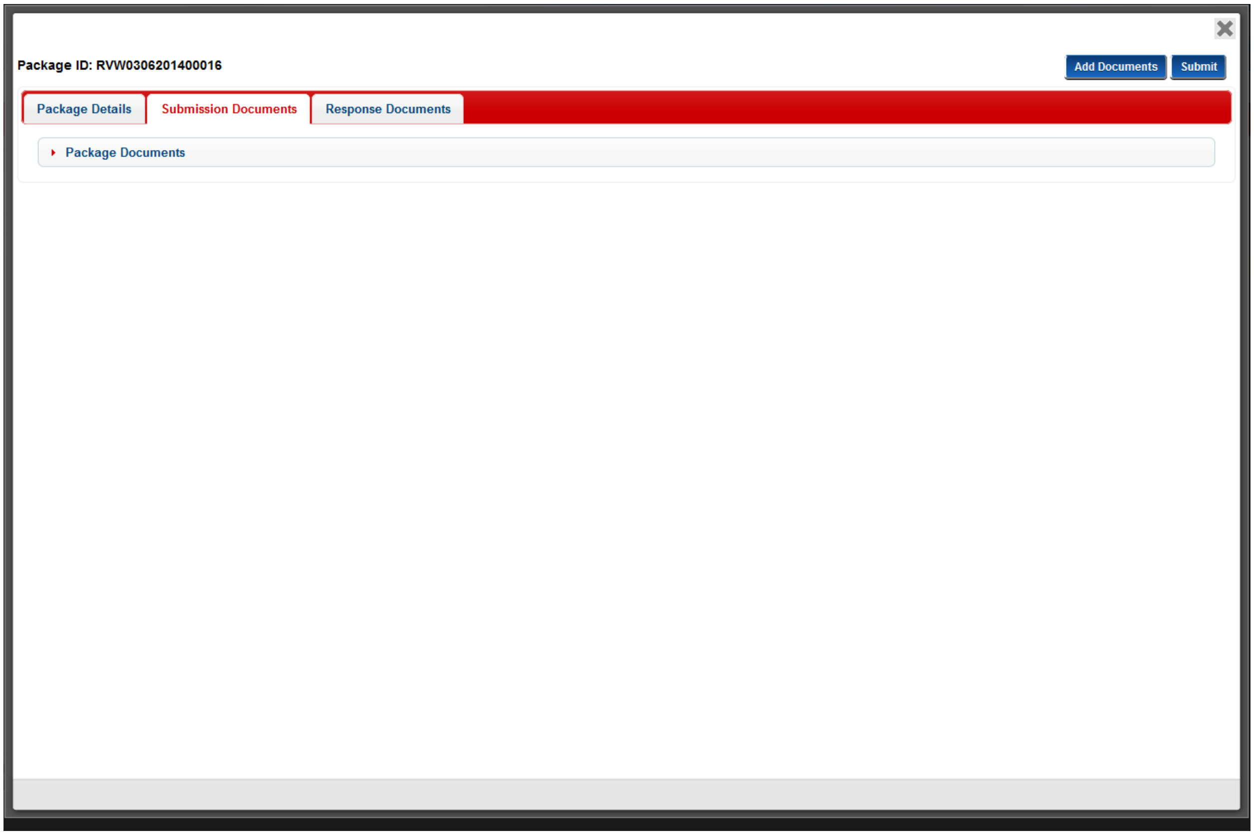
4. **Action**: Select the ***View Selected Action*** button.

Figure 76: Access Review Package via Actions



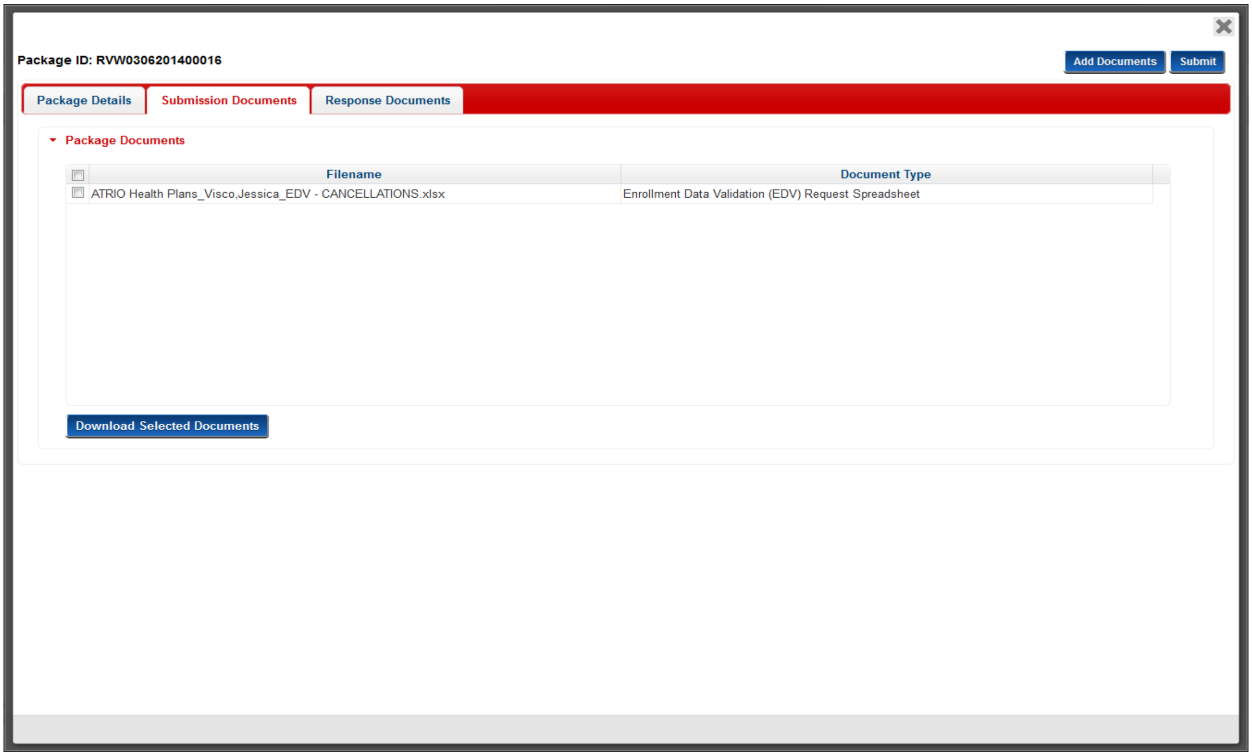
5. **Action**: Select Submission Documents tab.

Figure 77: Access Review Package via Actions



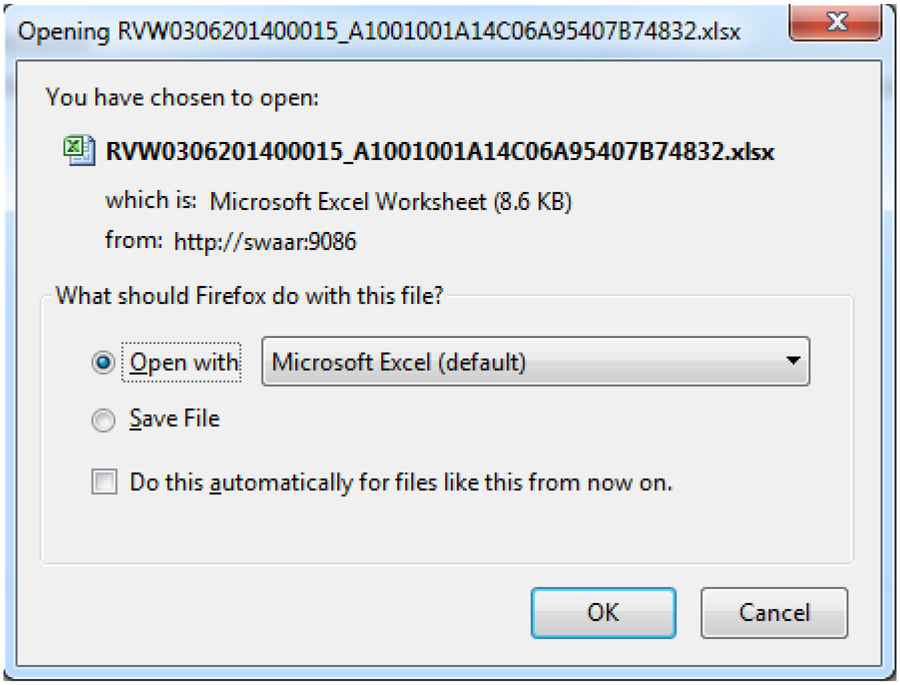
6. **Action:** Expand Package Document to view the documents submitted by RPC. Depending on the internet speed and size of the document users may see a screen with downloading action.
7. Once the downloading action is completed the documents submitted by RPC will display on the user interface as shown below:

Figure 78: Access Review Package via Actions



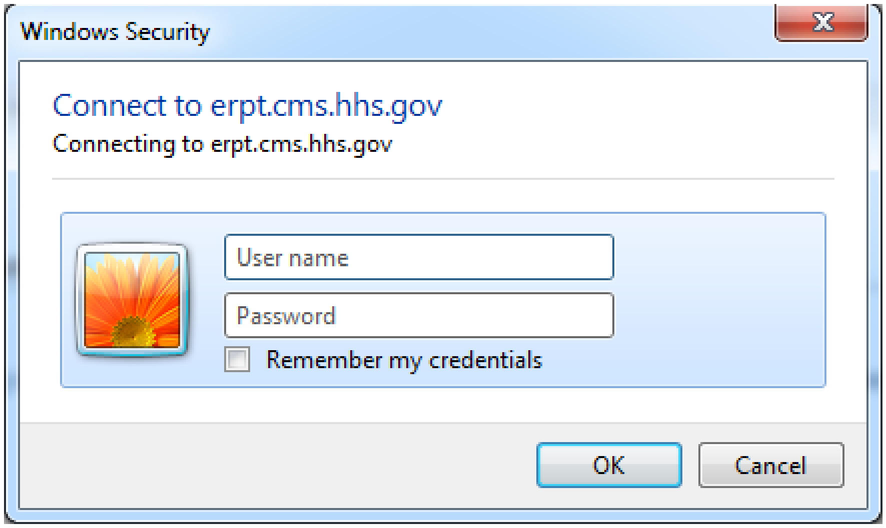
8. **Action**: Double click on the document to view it.
9. Depending on the browser the user will see the following pop-up window.

Figure 79: Access Review Package via Actions



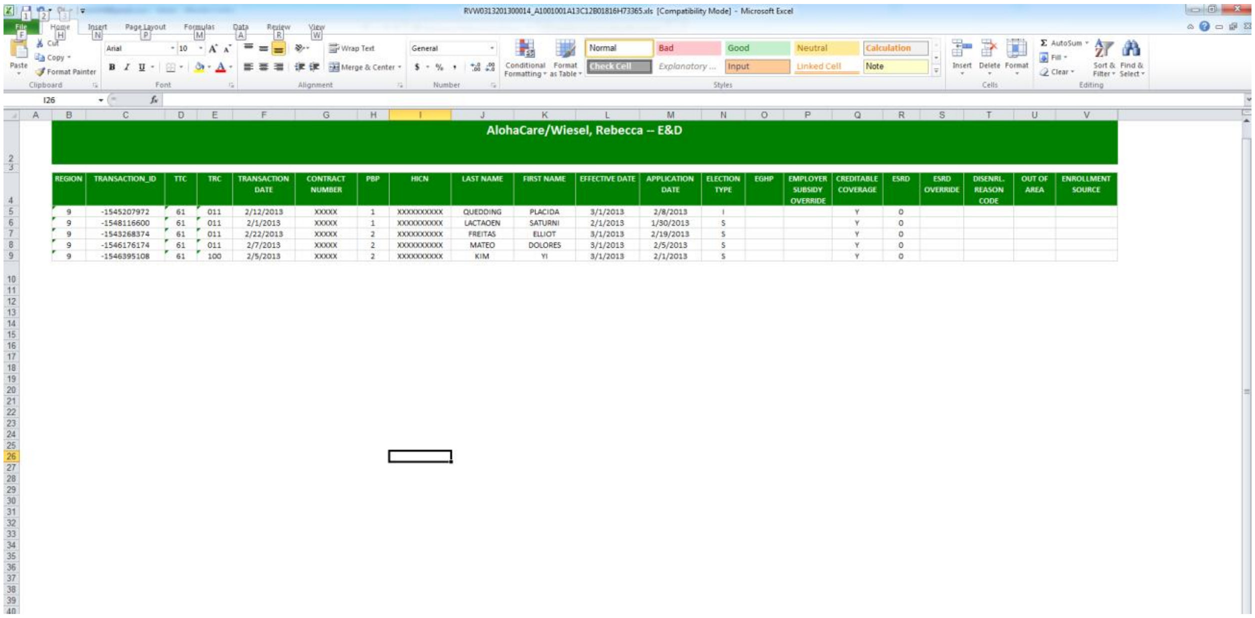
10. **Action**: Select ***Open***. Depending on the browser the user will see the following pop up window.

Figure 80: Access Review Package via Actions



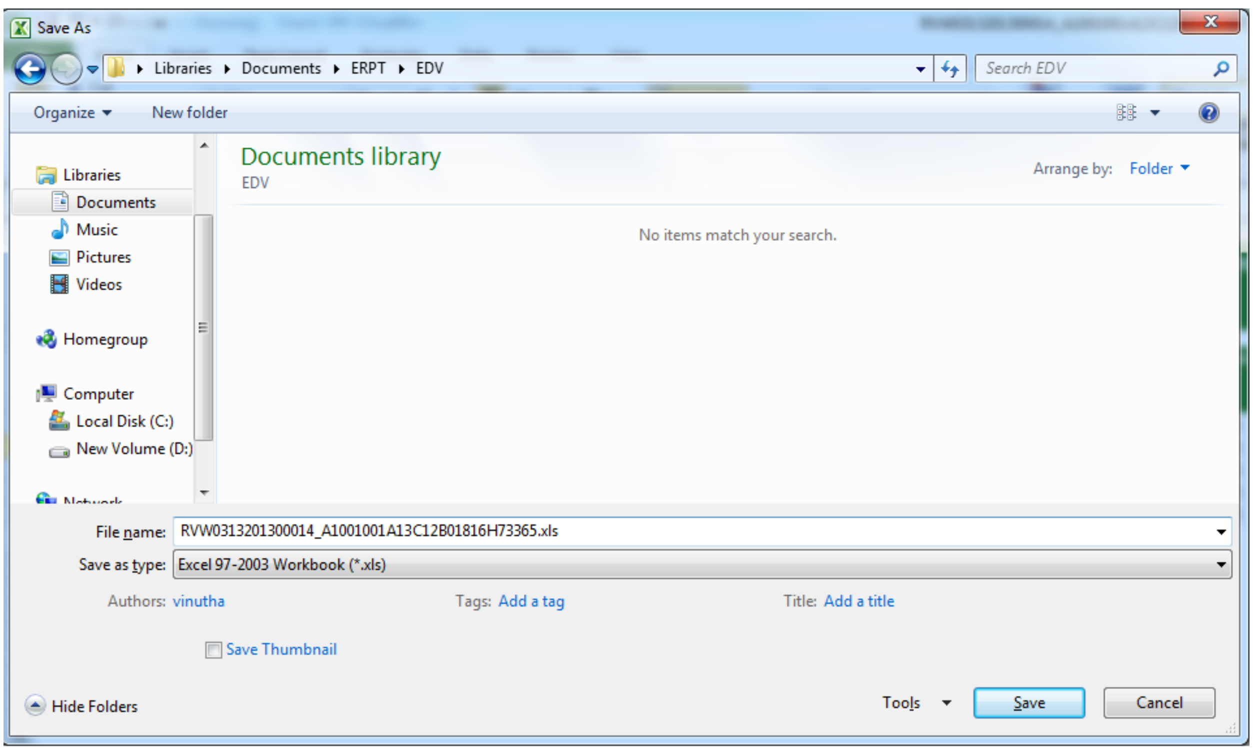
11. **Action**: Select ***Cancel***. The document will open has shown below.

Figure 81: Access Review Package via Actions



12. **Action**: To save the document to local repository. Select File -> Save As.

Figure 82: Access Review Package via Actions

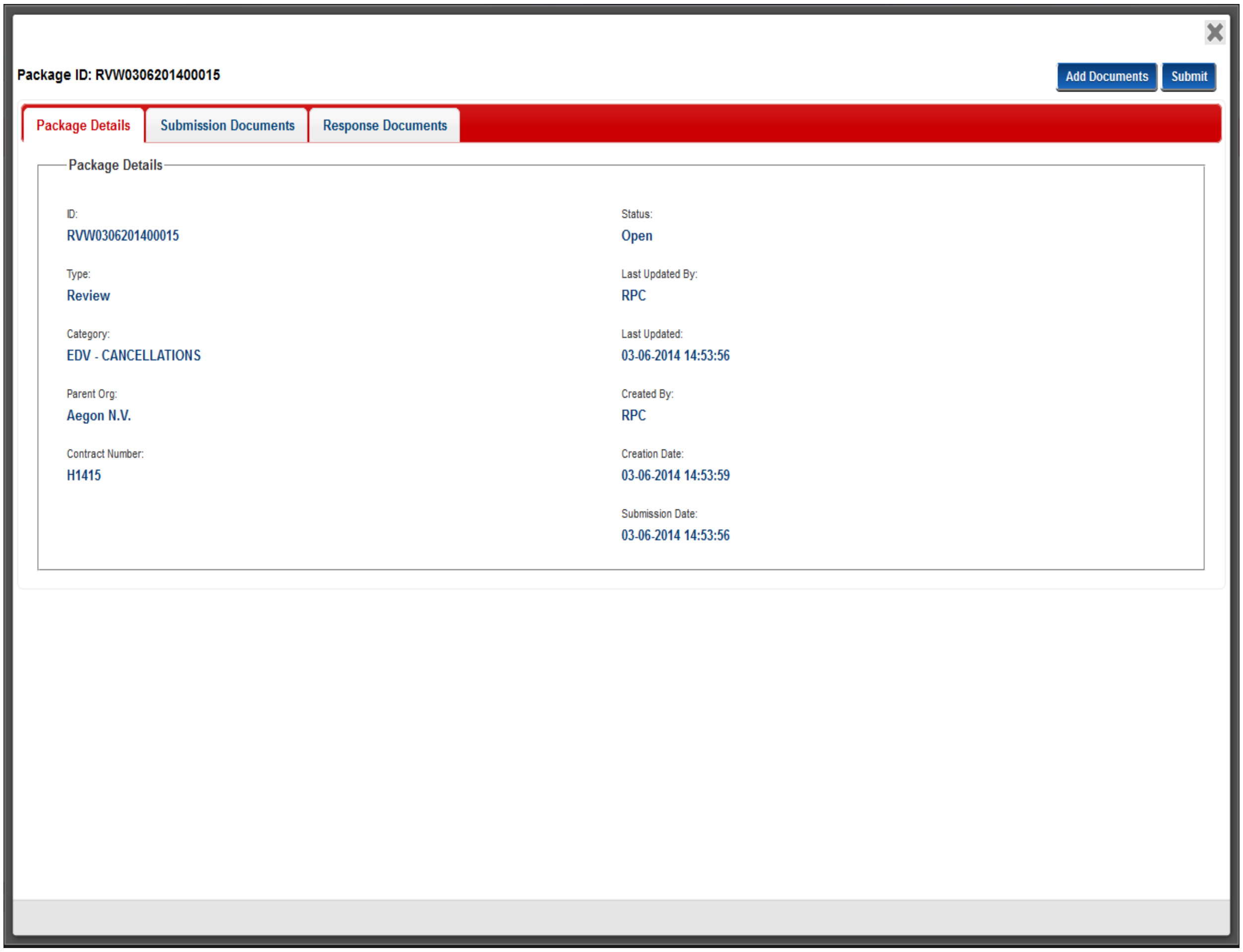


13. **Action**: Select ***Save***. The document will be saved in the local repository selected by the user. The user can also use "***Download Selected Documents***" button to save the documents on the local repository.

4.3.11.3 Complete Review Package with Response Documents

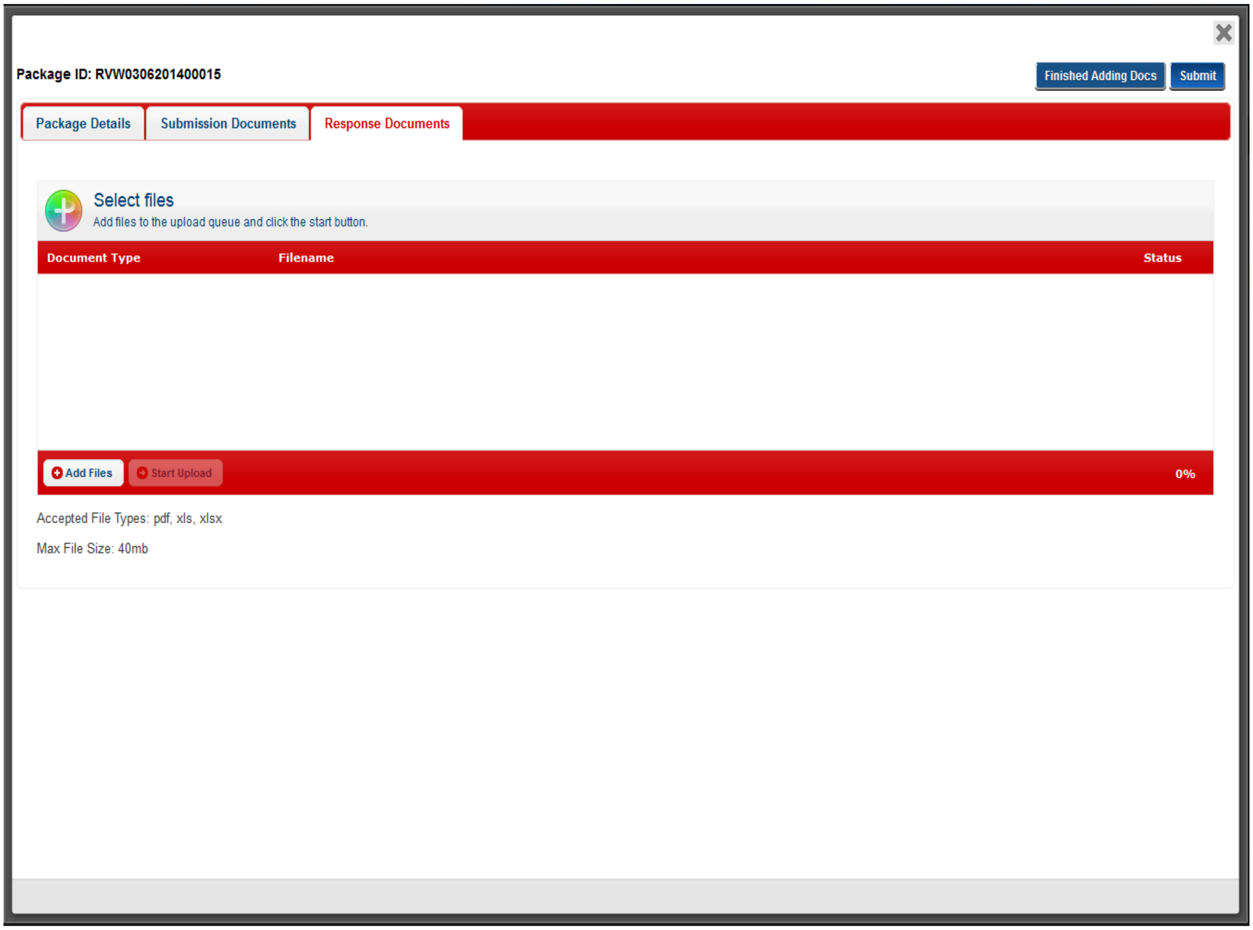
1. **Action:** Search for Review Package by following steps in section 4.3.11.1 to search for Review Package.
2. **Action**: Double click on the Package to open and view the Package.

Figure 83: Complete Review Package with Response Documents



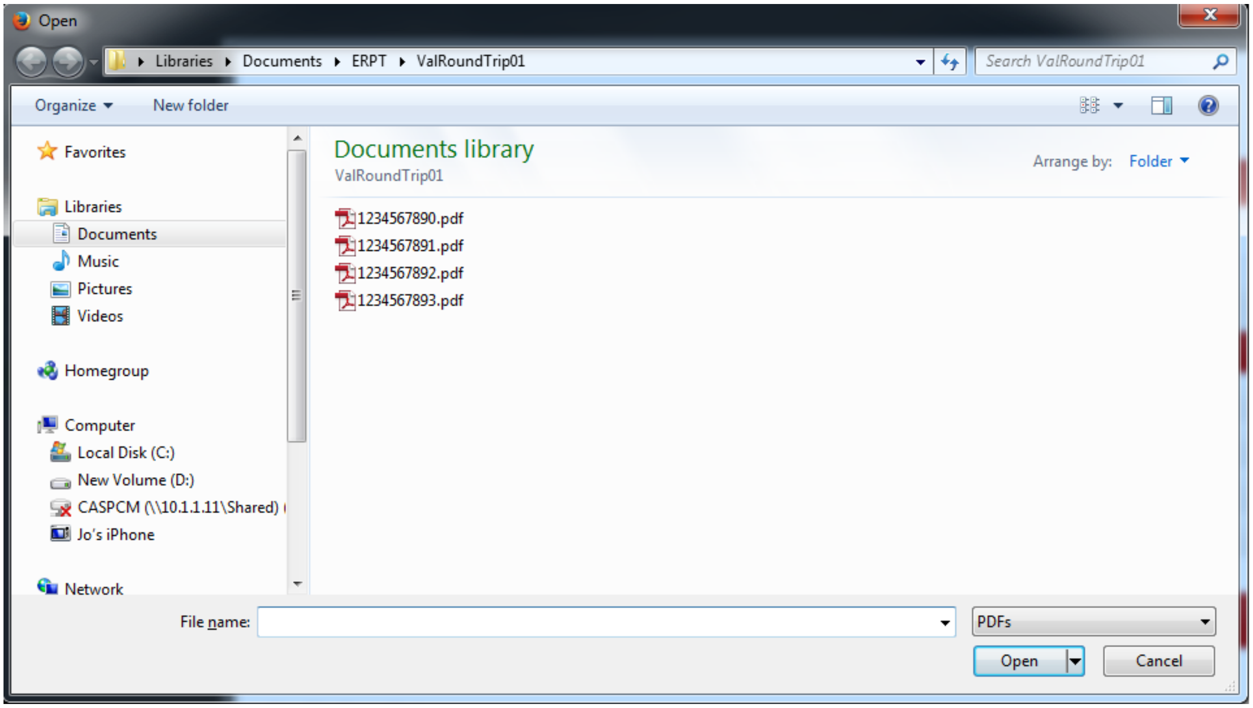
3. **Action**: Select ***Add Documents***. The following window will be displayed:

Figure 84: Complete Review Package with Response Documents



4. **Action**: Select ***Add Files***. Windows Explorer pop-up window will be displayed to select the documents as shown below:

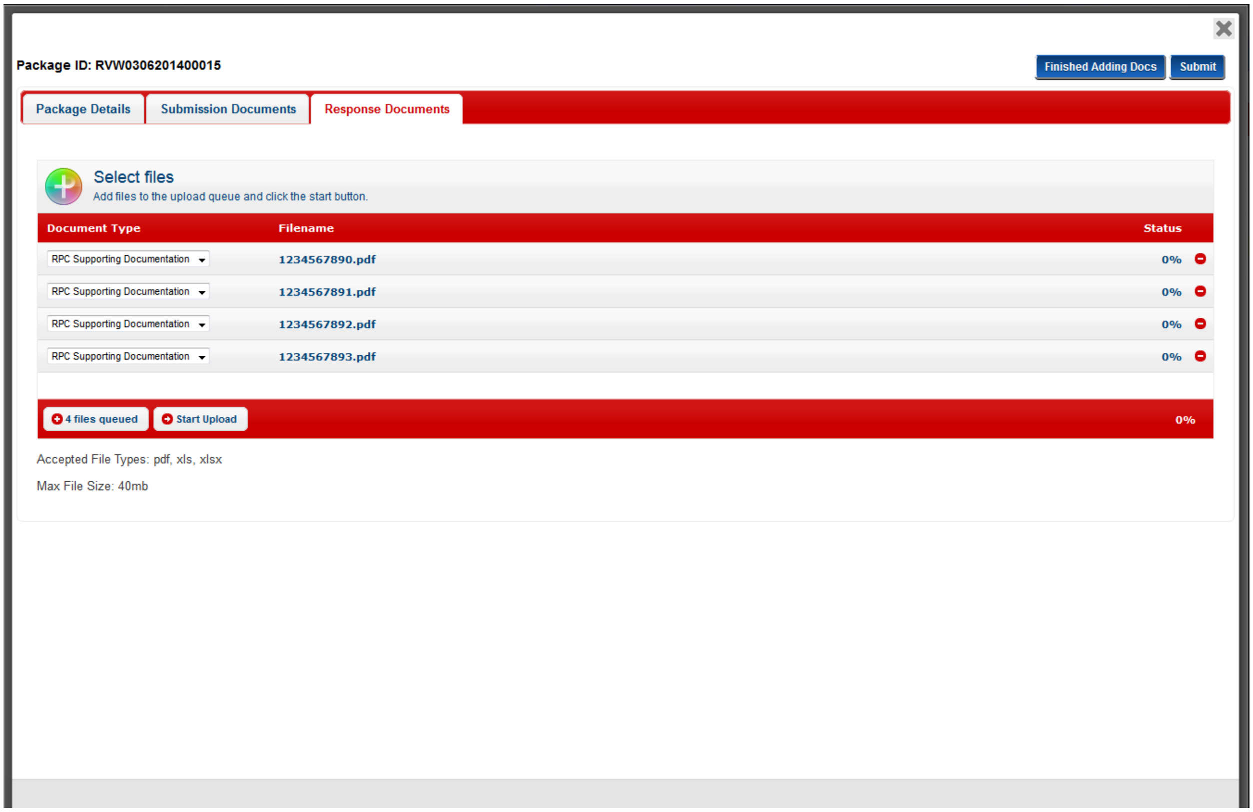
Figure 85: Complete Review Package with Response Documents



5. **Action**: Select the files you want to add for the document and select ***Open***. The selected document will display in the user interface.

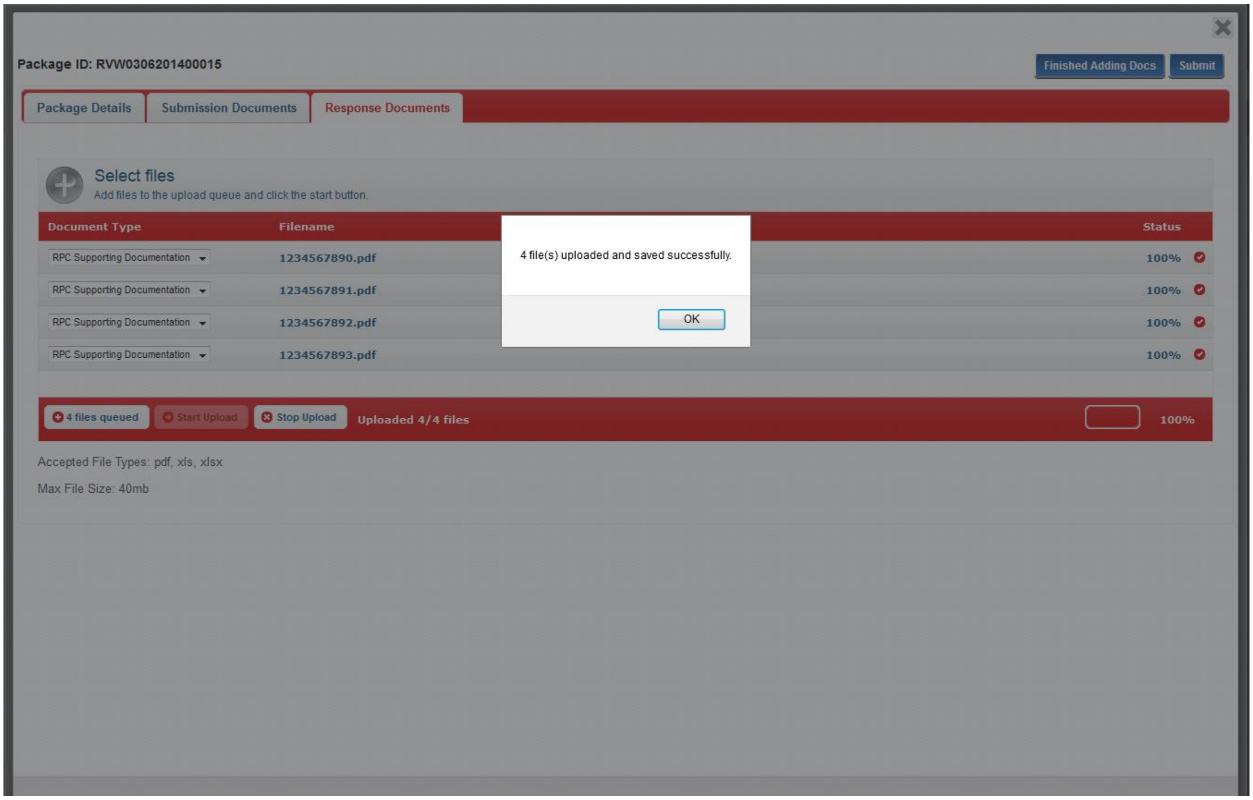
Note: The Plan Users will not need to upload the EDV Validation Spreadsheet that they received from the RPC.

Figure 86: Complete Review Package with Response Documents



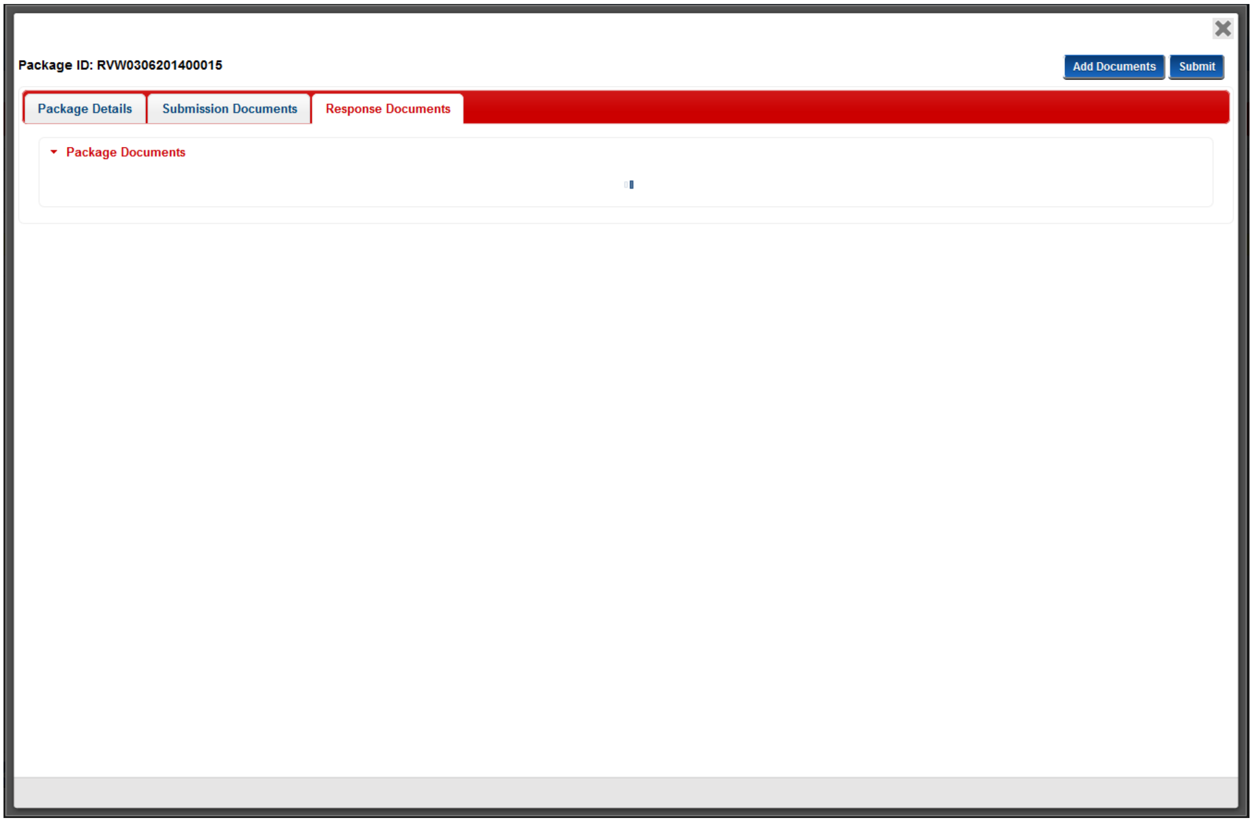
6. **Action:** The default ***Document type-"RPC Supporting Documentation"*** is automatically selected.
7. **Action**: Select ***Start Upload.***

Figure 87: Complete Review Package with Response Documents



8. **Action**: Select ***OK***.
9. **Action**: To view the documents uploaded on the package select ***Finished Adding Docs***. Depending on the internet speed and size of the document users may see the following screen with downloading action.

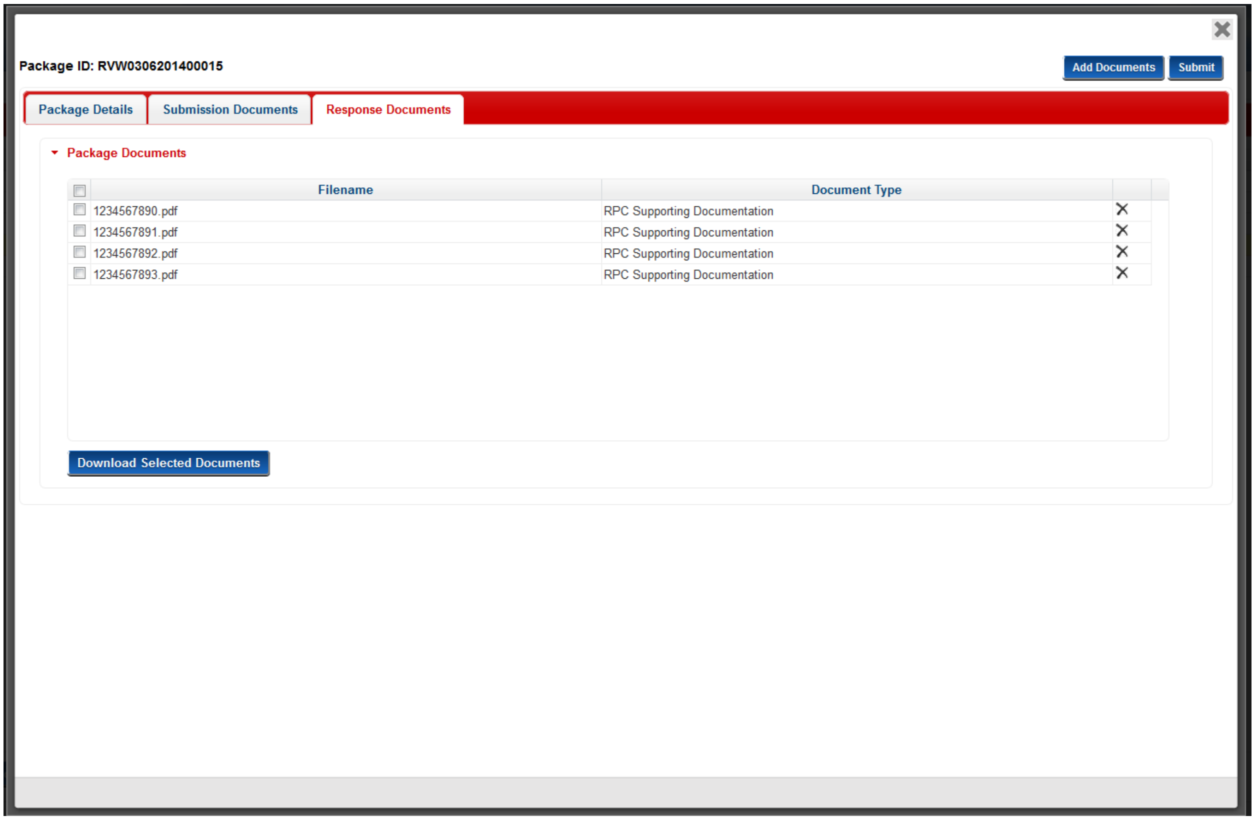
Figure 88: Complete Review Package with Response Documents



Note: The documents will display on the user interface once it has been downloaded.

10. **Action**: The users will see Package Documents selection once the download action on the user interface is completed. Expand Package Documents by selecting the red arrow. All the documents uploaded by the user will display as shown below.

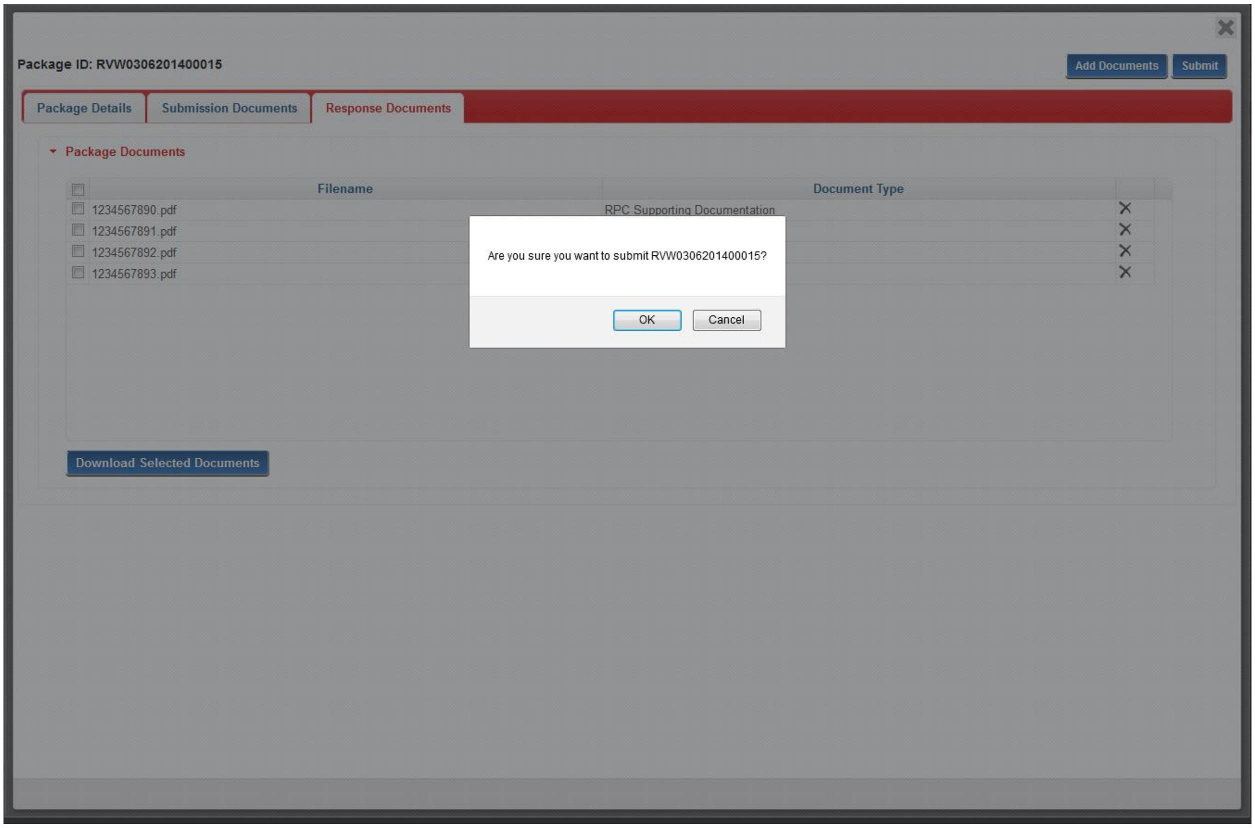
Figure 89: Complete Review Package with Response Documents



Note: You may see downloading action when you expand the Package Documents or Package Details depending on the internet speed. The downloading action will not save the documents on your local machine and you will need to manually download the documents if you want.

11. If the user wants to upload additional documents repeat step 3 to 8. If the user wants to delete any uploaded documents please contact the MAPD Help Desk and create a ticket.
12. **Action:** Select ***Submit*** if you have completed adding all the documents or select ***Finished Adding Docs*** to switch to View Mode.
13. **Action**: Select ***Submit.*** The following message will be displayed:

Figure 90: Complete Review Package with Response Documents



14. **Action**: Select ***OK.***
15. The Package status will be updated to Completed and will be available for RPC to download and process.

Note: If the package was submitted by mistake and the users had additional documents to upload, they can contact the MAPD Help Desk at mapdhelp@cms.hhs.gov or 1-800-927-8069 to reopen the review package.

4.4 Actions

Actions are messages sent to users to notify them about an action that has been completed on the Package.
Actions are created within the eRPT application when:

- A Response document is added by the RPC for the Plan or for CMS Regional Office to review.
- A Category 3 Submission Package is rejected by the Regional Office user.
- If a CMS Central Office user deletes a Package created by the Plan User.
- When RPC downloads the package.

The following table lists all the notifications that a user can receive based on the RPC response:

Table 2: eRPT Actions

Notification Message	Notification Description
RPC Download a Submission or Transaction Inquiry or EDV	RPC successfully downloaded package <XXX>.
Package Delete Notification	The package <XXX> has been deleted by CMS Central Office user "CMS Central Office User Name". Please contact the user if you have any questions.
Package Reject Notification	The package <XXX> has been rejected by "Package Approver Name". Please refer to Package Rejection notes for any clarification.
FDR Uploaded	There is FDR(s) uploaded by RPC for Package <XXX>.
RPC Inquiry Response	There is an Inquiry Response uploaded by RPC for Package <XXX>.
Error Report Uploaded	There is an Error Report uploaded by RPC for Package <XXX>.
EDV Request	There is an EDV - <EDV Request Description> Request "xxxx" from RPC.
Follow-on FDR Notification	A Follow-On FDR has been added to the system for contract <XXX>.

In the following sub-sections we will discuss:

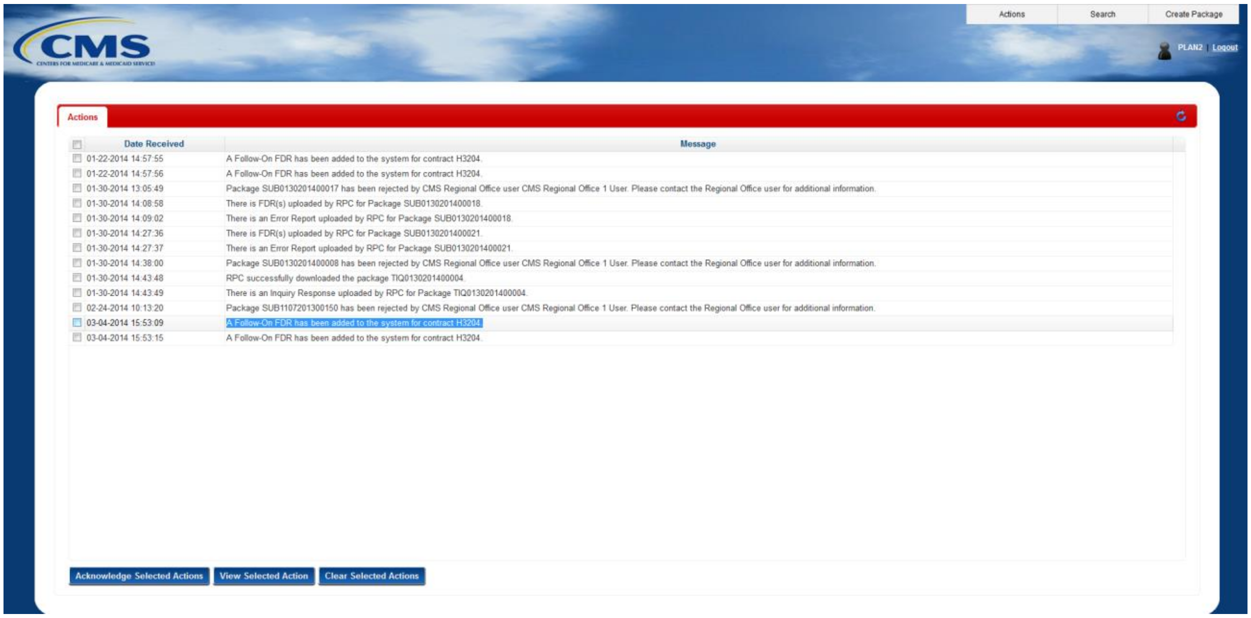
- Acknowledge Selected Actions
- View Selected Actions
- Clear Selected Actions

4.4.1 View Selected Actions

The view selection actions button is used to view the package or document that is associated with the action. In this section, we will walk through the steps on how to use view selected action button.

1. Login to the eRPT application.
2. The Actions will be the landing page for the users as shown below:

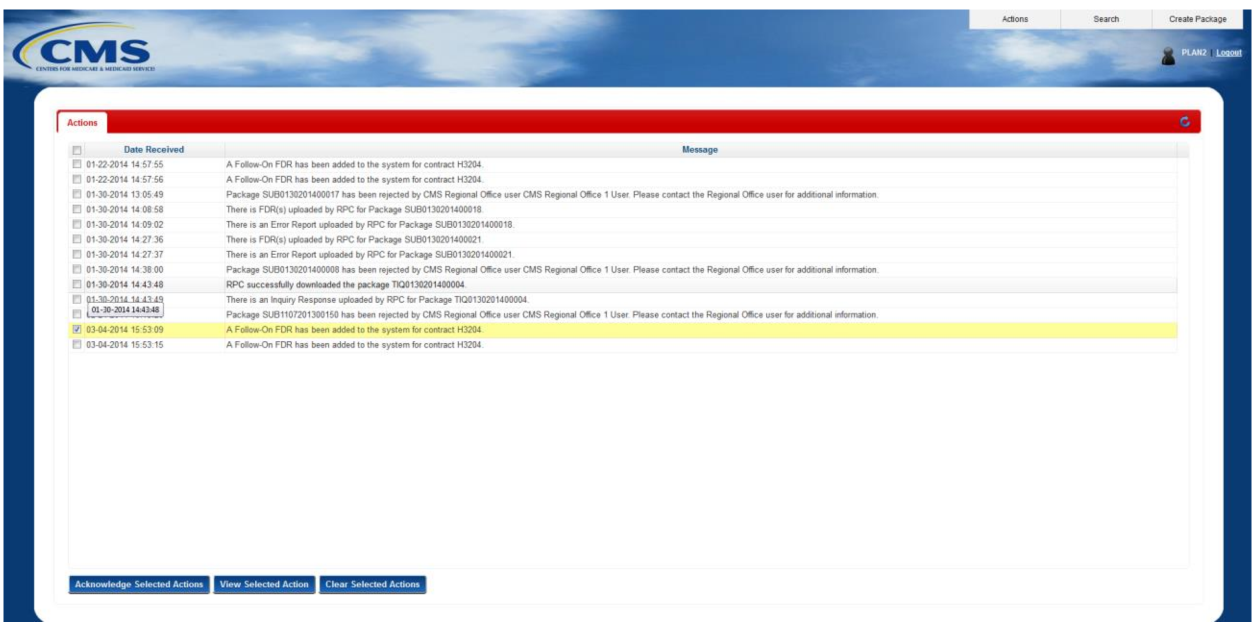
Figure 91: View Actions



3 Select checkbox of the action that you want to view as show below:

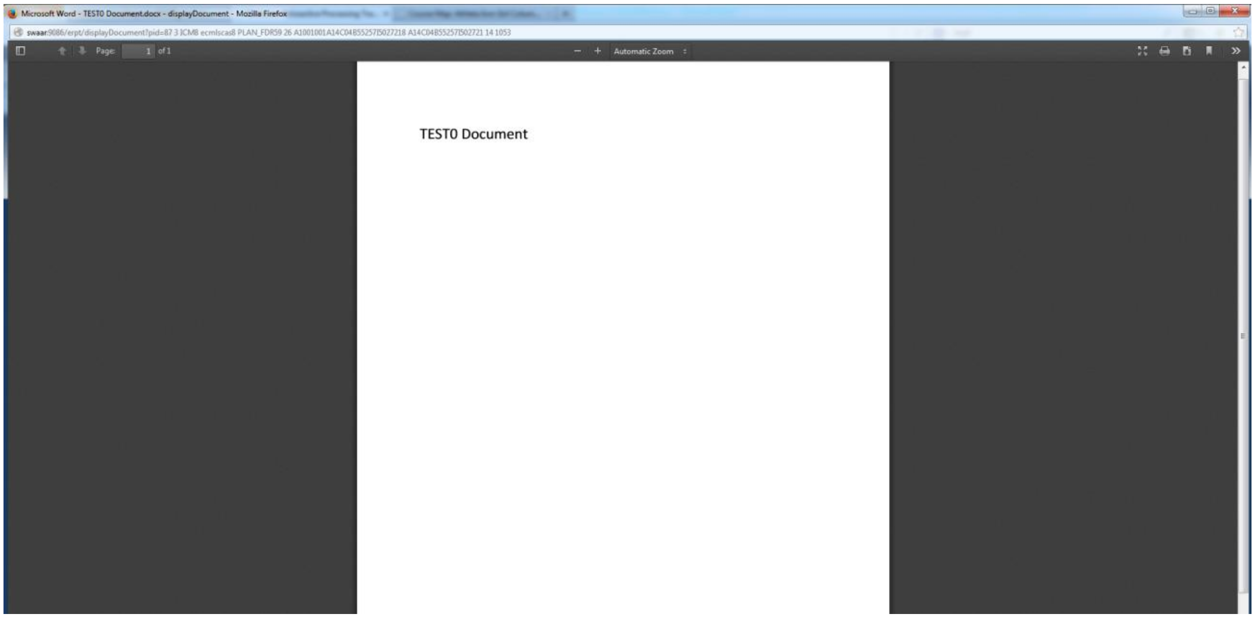
Note: The user can also double click on the actions row to view the package or document associated with the action.

Figure 92: View Actions



4 Depending on the type of action the user will be displayed with either the document or package. For our example: the action selected was for Follow On FDR and hence the document will be displayed to the user as shown below:

Figure 93: View Actions

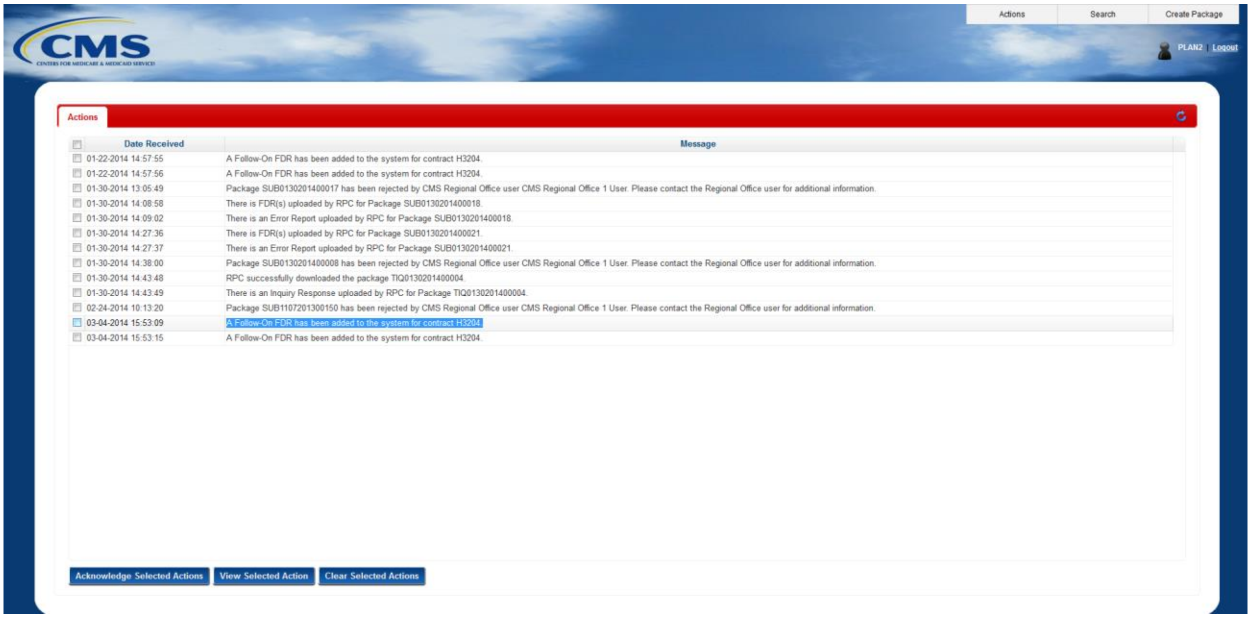


4.4.2 Acknowledge Selected Actions

The acknowledge selected actions button is used to mark an action as completed. The user can select 1 to many notifications to mark them as acknowledged. In this section, we will walk through the steps on how to use acknowledge selected action button.

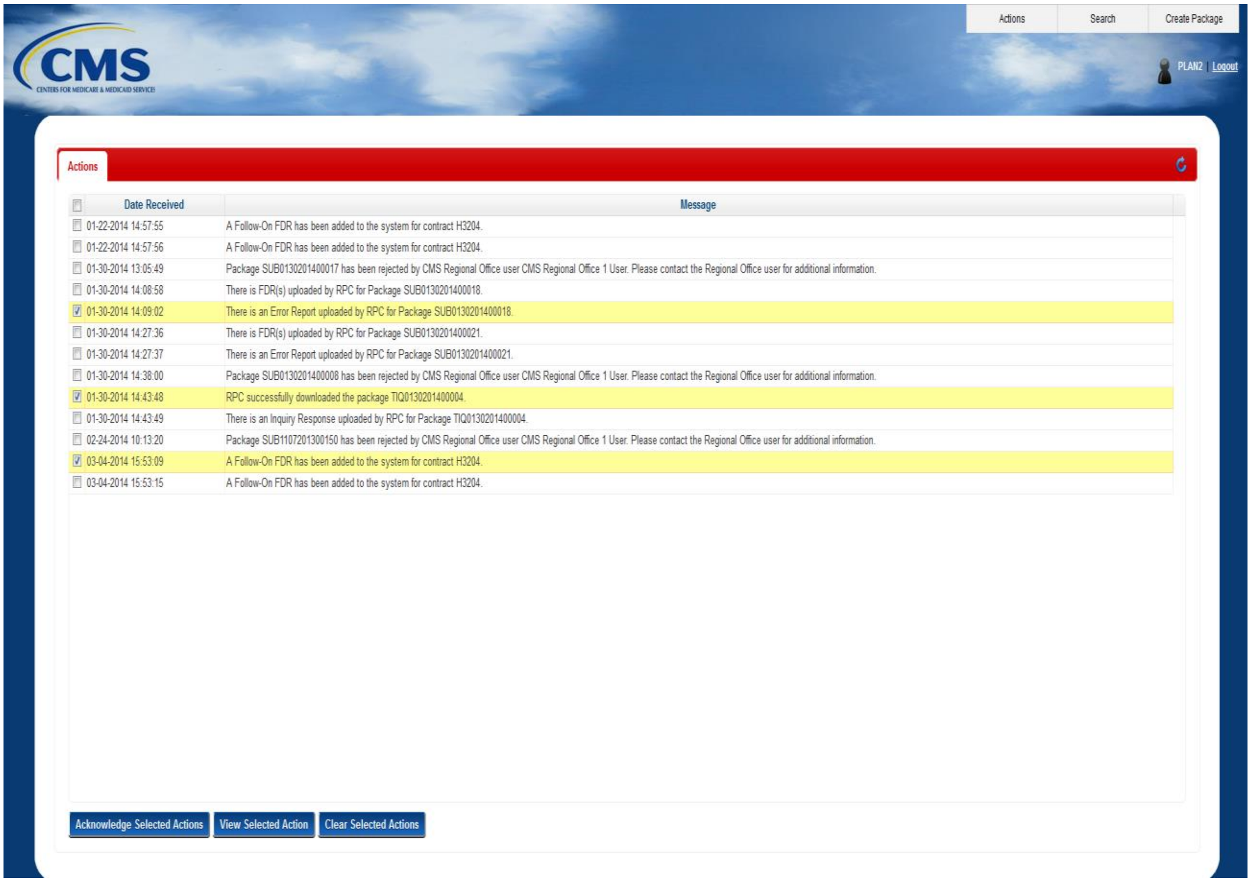
1. Login to the eRPT application.
2. The Actions will be the landing page for the users and all the actions belonging to the current user will be displayed:

Figure 94: Acknowledge Selected Actions



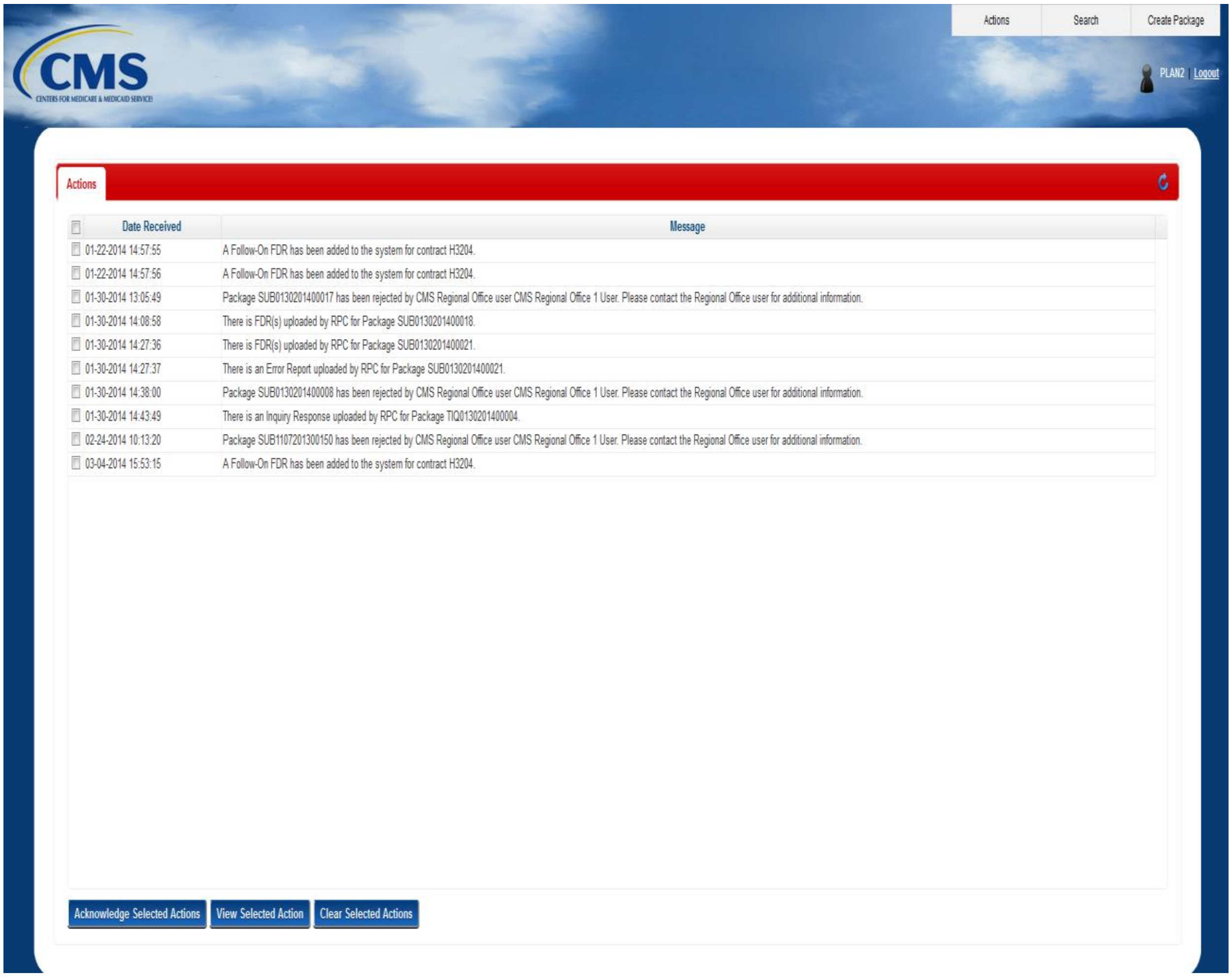
3 **Action**: Select the checkbox of the notification/action you want to acknowledge.

Figure 95: Acknowledge Selected Actions



4 **Action**: Select ***Acknowledge Selected Actions***.
5 The messages will disappear from the actions tab window as shown below:

Figure 96: Acknowledge Selected Actions



6 If the user decides not to acknowledge the actions he can select ***Clear Selected Actions*** button to uncheck all the checkbox for the actions.

4.4.3 Clear Selected Actions

The Clear Selected actions button is used to uncheck the checkbox for the selected notification if a user decides to not acknowledge or view a selected action.

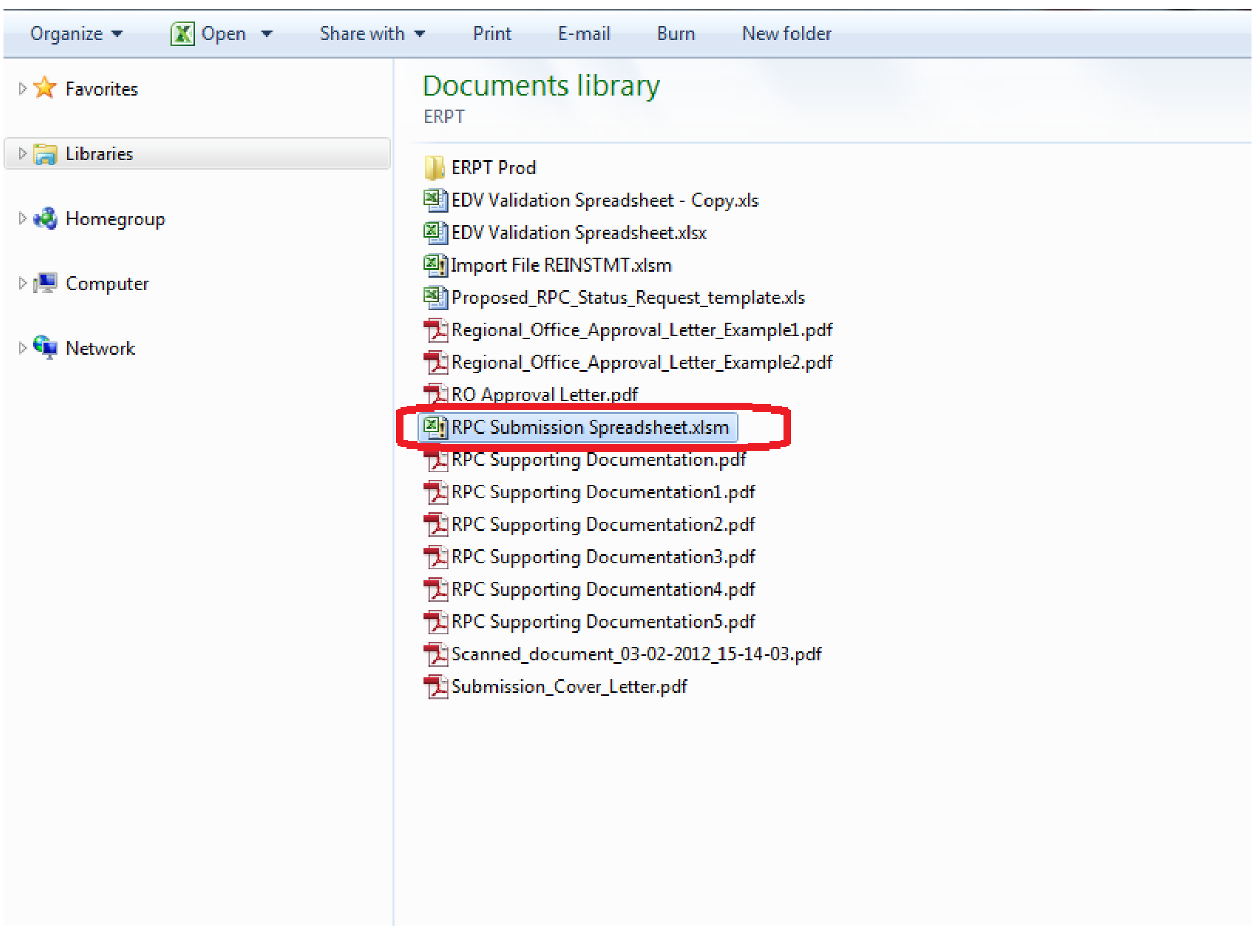
4.5 Convert 'xlsm' document to 'xls' document

In the eRPT application a user can upload documents which are available only in the following formats:

- PDF documents - Documents with.pdf extension.
- Excel documents - Documents with .xls or .xlsx extension.

In this section, we will discuss how documents with unsupported excel formats like 'xlsm' can be converted to acceptable formats to upload in the eRPT application. For our example, we will discuss how to convert the RPC submission spreadsheet that is available on the Reed & Associates website in 'xlsm' format to 'xls' format. An ‘xlsm’ document can be identified by its extension. This type of document will have the extension “.xlsm” as shown in Figure 94.

Figure 97: xlsm Documents

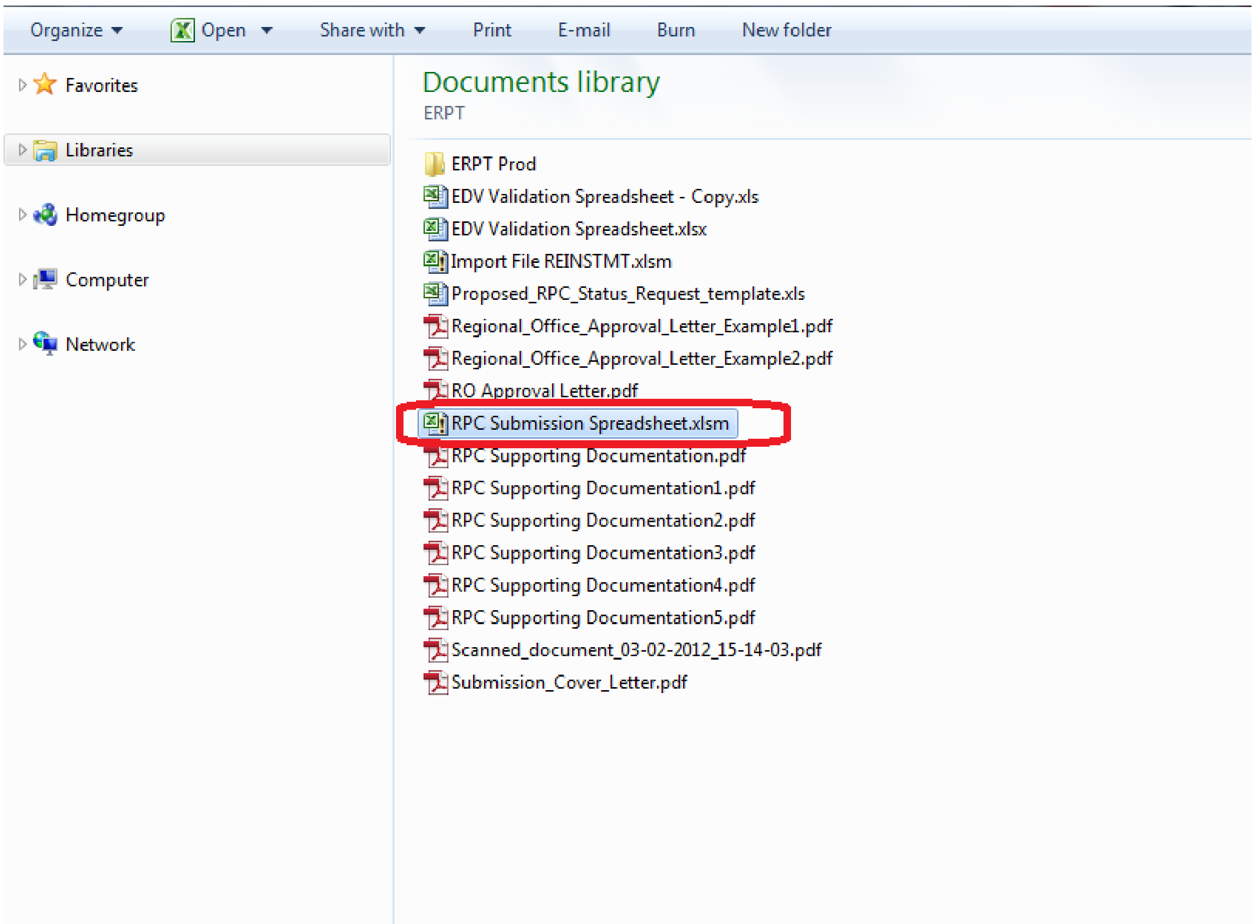


Note: Please convert the RPC Submission Spreadsheet document to xls after it is been completed with all the required information and validated using the validation function available within the spreadsheet.

4.5.1 Steps to convert 'xlsm' to 'xls'

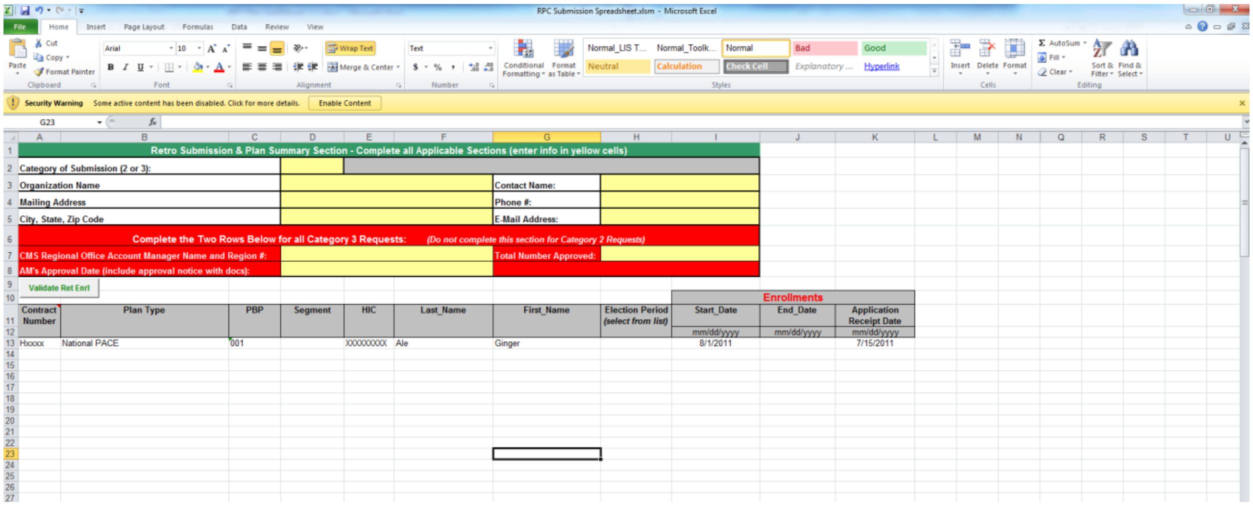
1 Locate the complete RPC Submission Spreadsheet on your local directory.

Figure 98: Steps to convert 'xlsm' to 'xls'



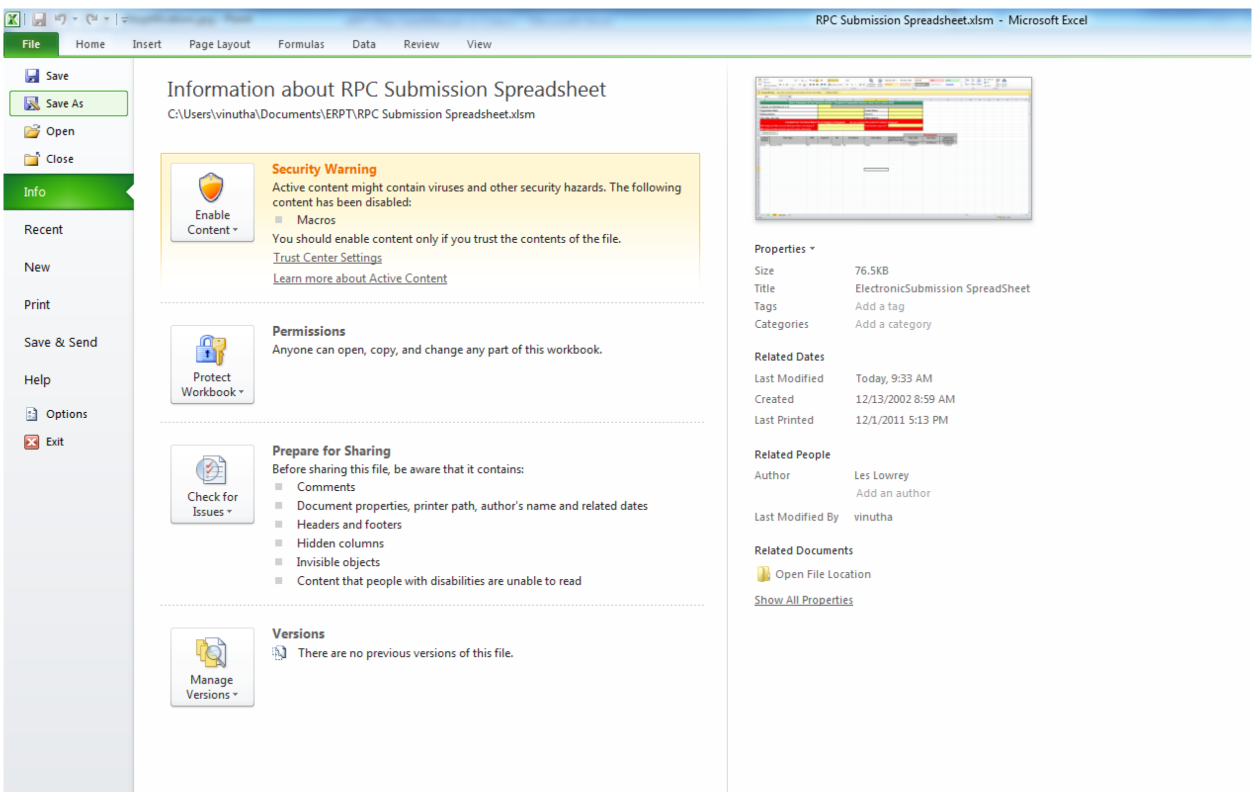
2 **Action:** Open the RPC Submission Spreadsheet by double clicking on the document.

Figure 99: Steps to convert 'xlsm' to 'xls'



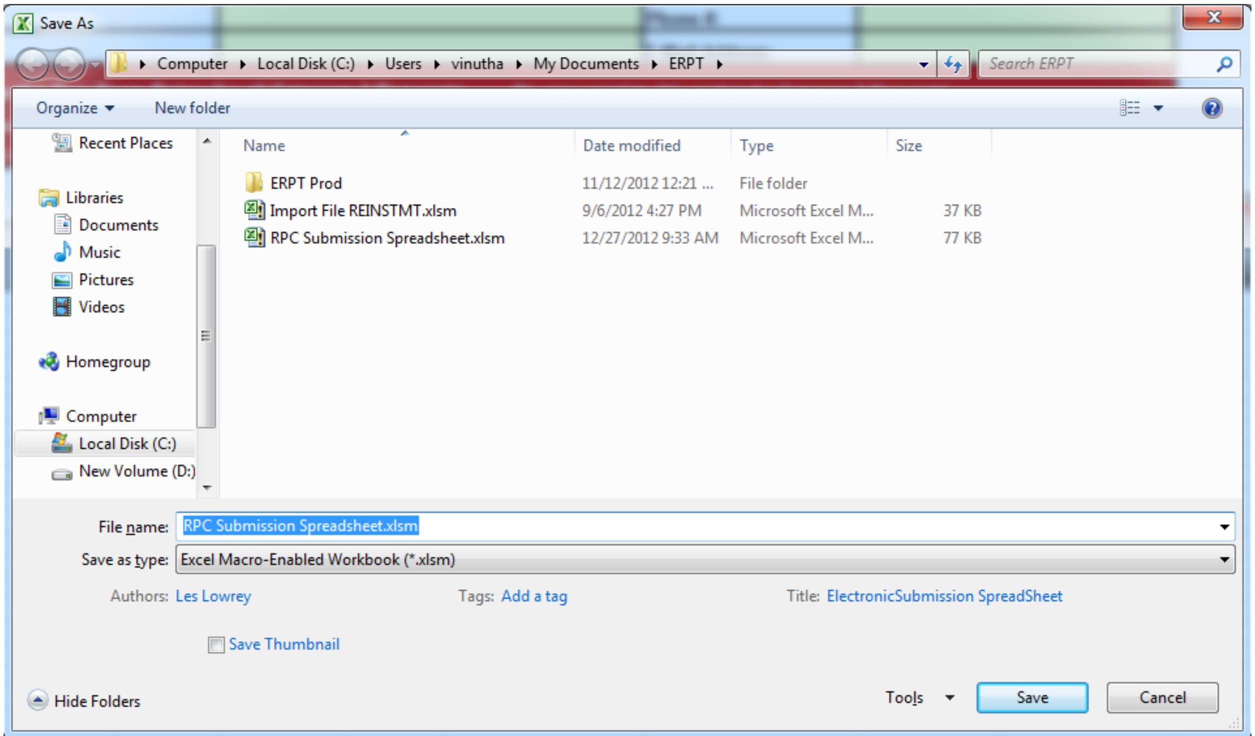
3 **Action**: Select ***File ->Save As***.

Figure 100: Steps to convert 'xlsm' to 'xls'



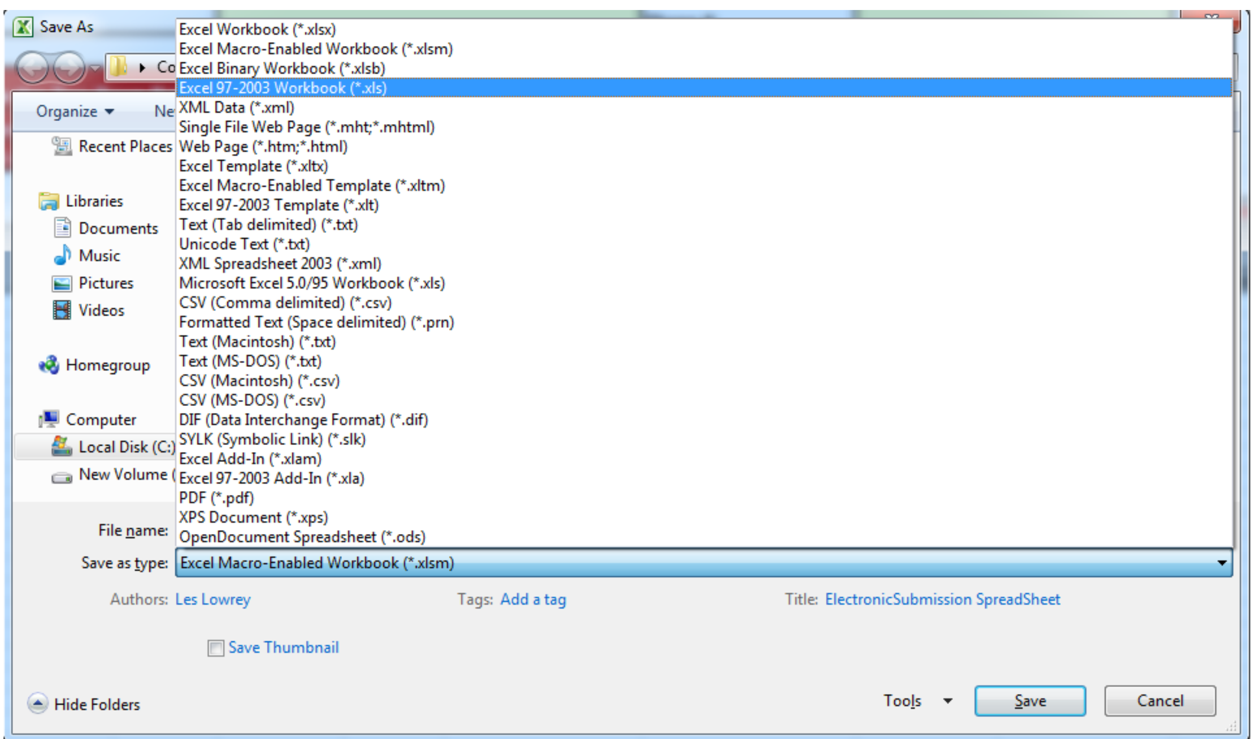
4 Save As pop up window will be displayed to the user as shown below:

Figure 101: Steps to convert 'xlsm' to 'xls'



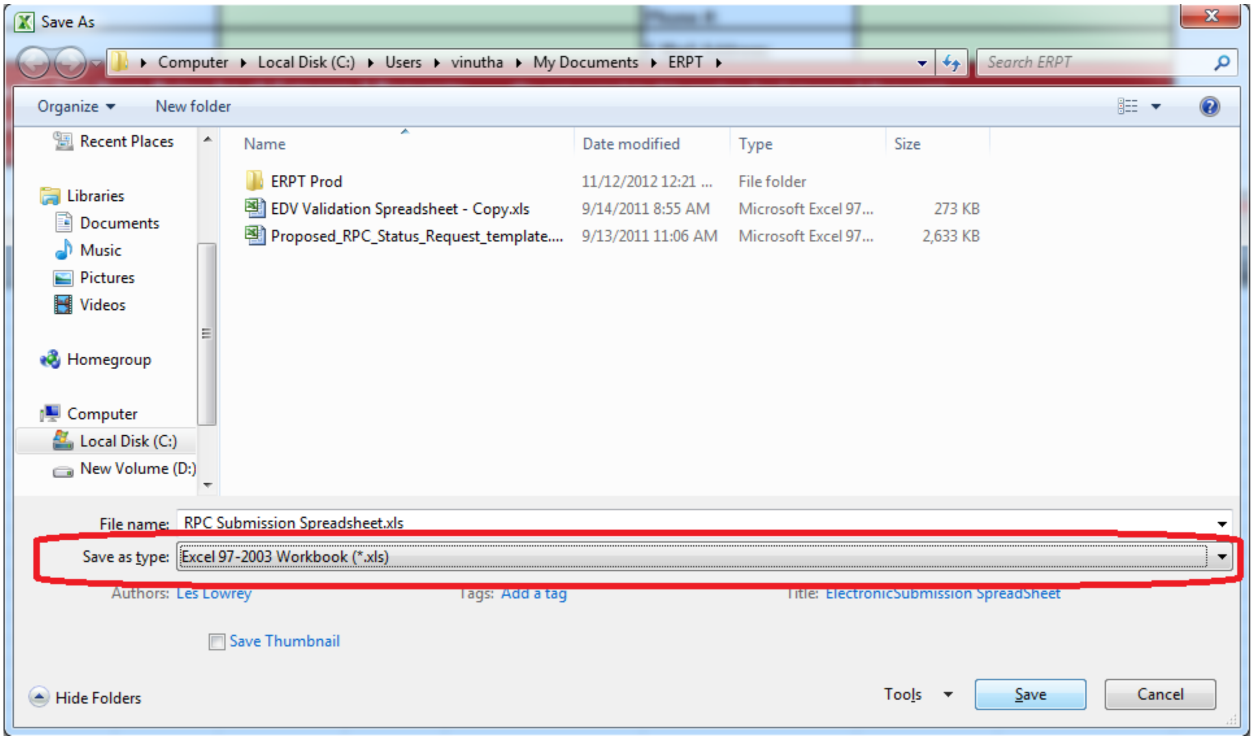
5 **Action**: Select 'Excel 97-2003 Workbook (*.xls) from Save as type dropdown.

Figure 102: Steps to convert 'xlsm' to 'xls'



6 The new extension will be selected for the Save as type as shown below:

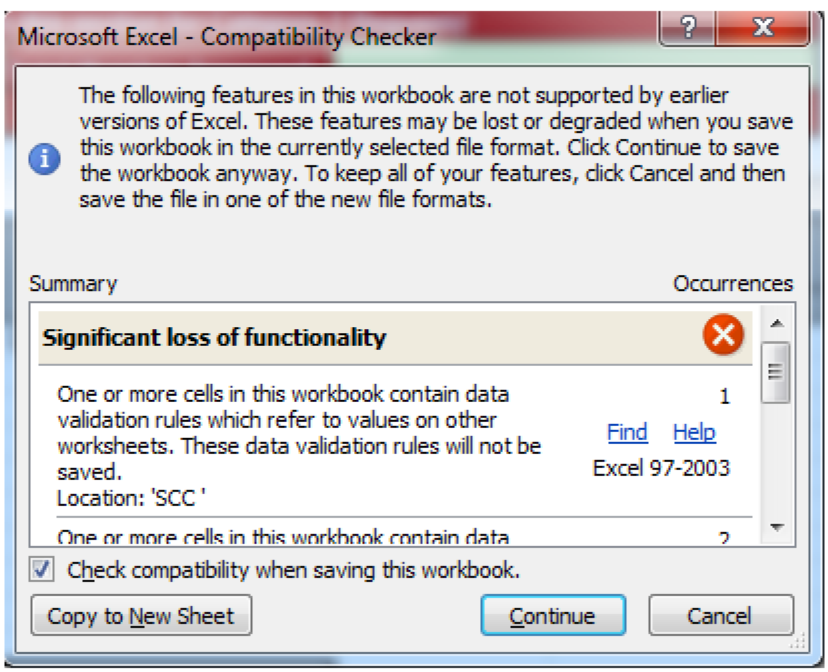
Figure 103: Steps to convert 'xlsm' to 'xls'



7 **Action**: Select ***Save***.

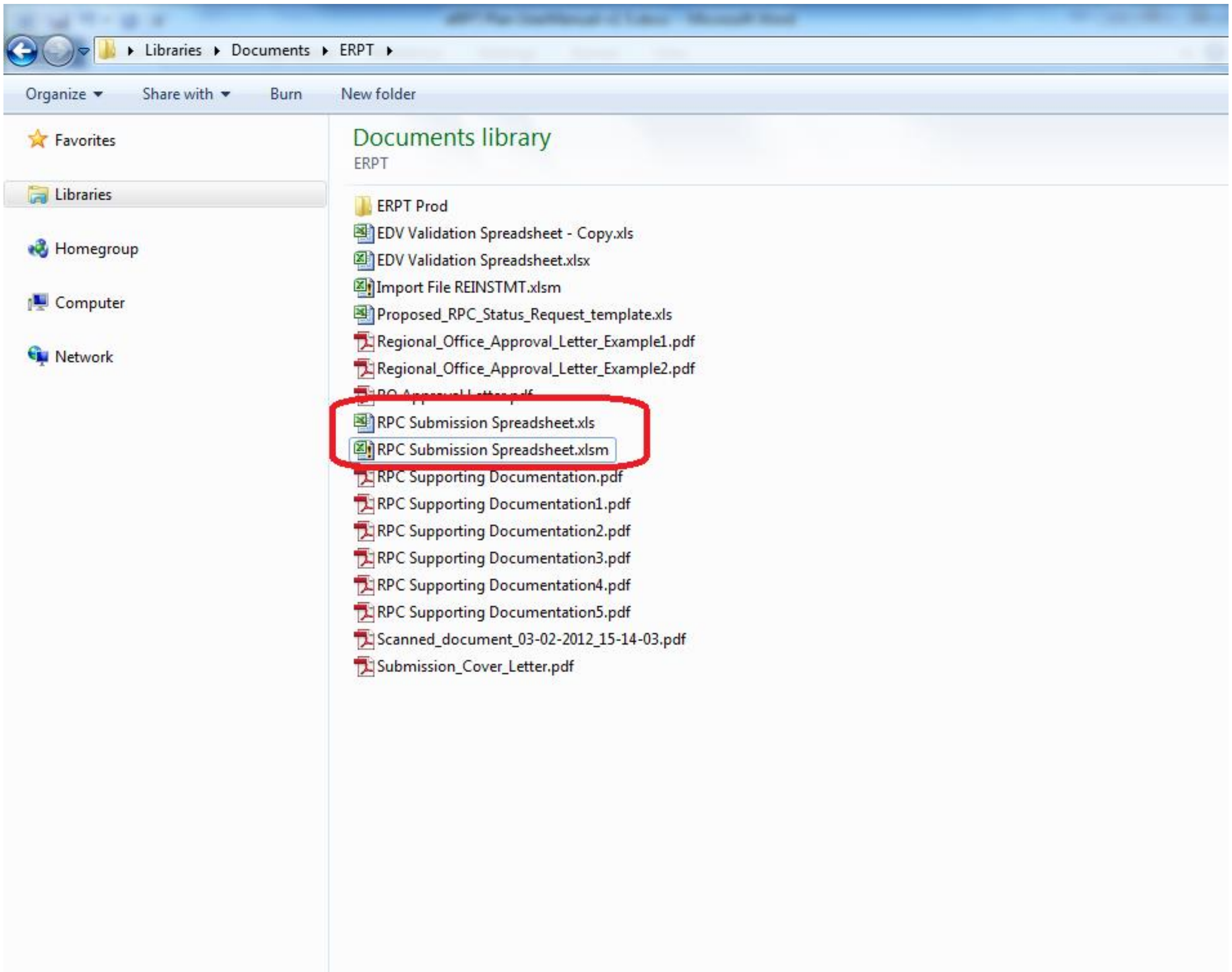
8 **Action**: The following Microsoft Excel – Compatibility Checker will be displayed to the user. Select ***Continue***.

Figure 104: Steps to convert 'xlsm' to 'xls'



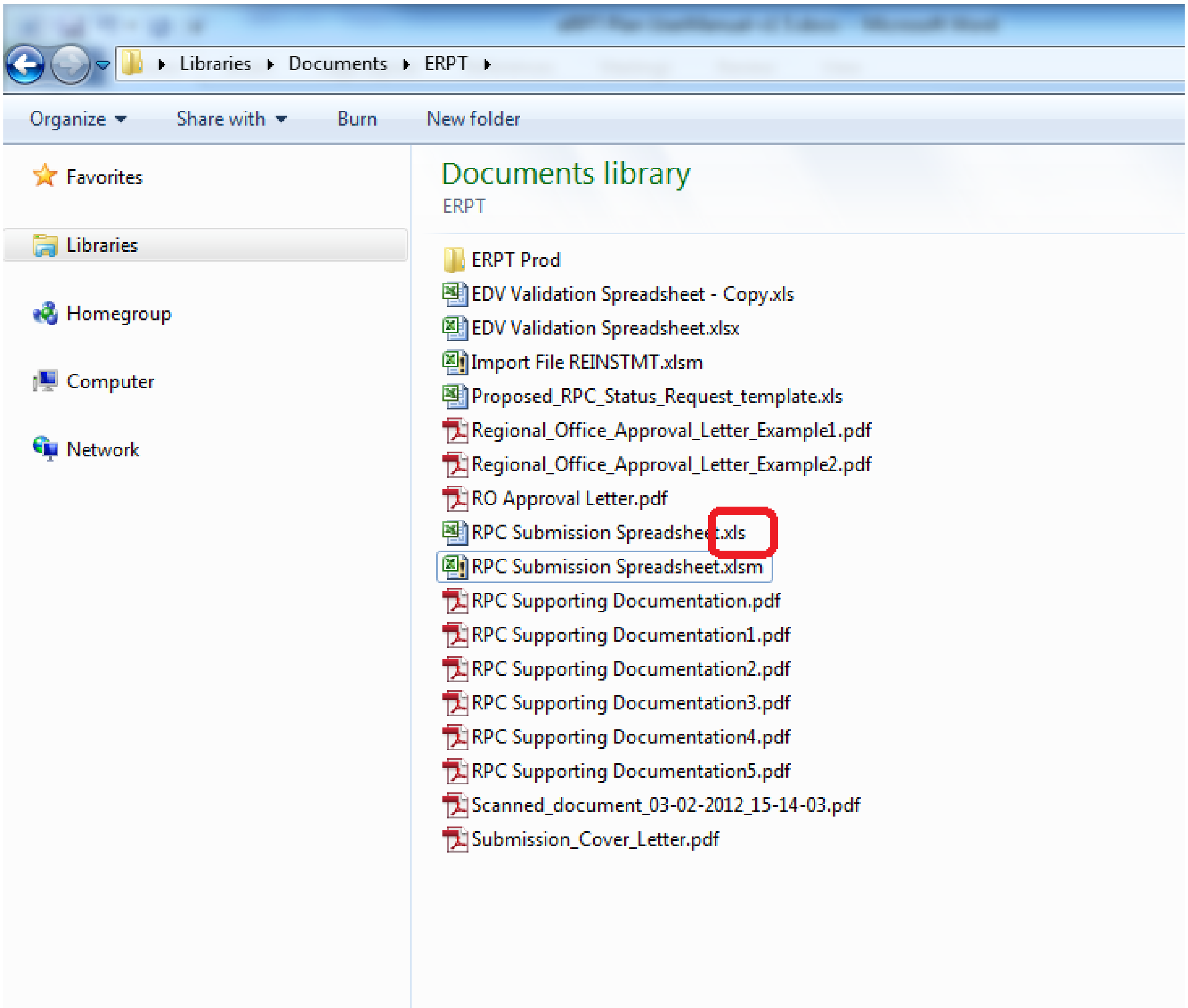
9 A new copy of RPC Submission Spreadsheet will be created in the ‘xls’ format. A copy of RPC Submission Spreadsheet in ‘xlsm’ format will also be available to the users.

Figure 105: Steps to convert 'xlsm' to 'xls'



10 To check the document extension, navigate to the document location and check the complete file name. The last four characters in the file name should be ‘.xls’ as shown below.

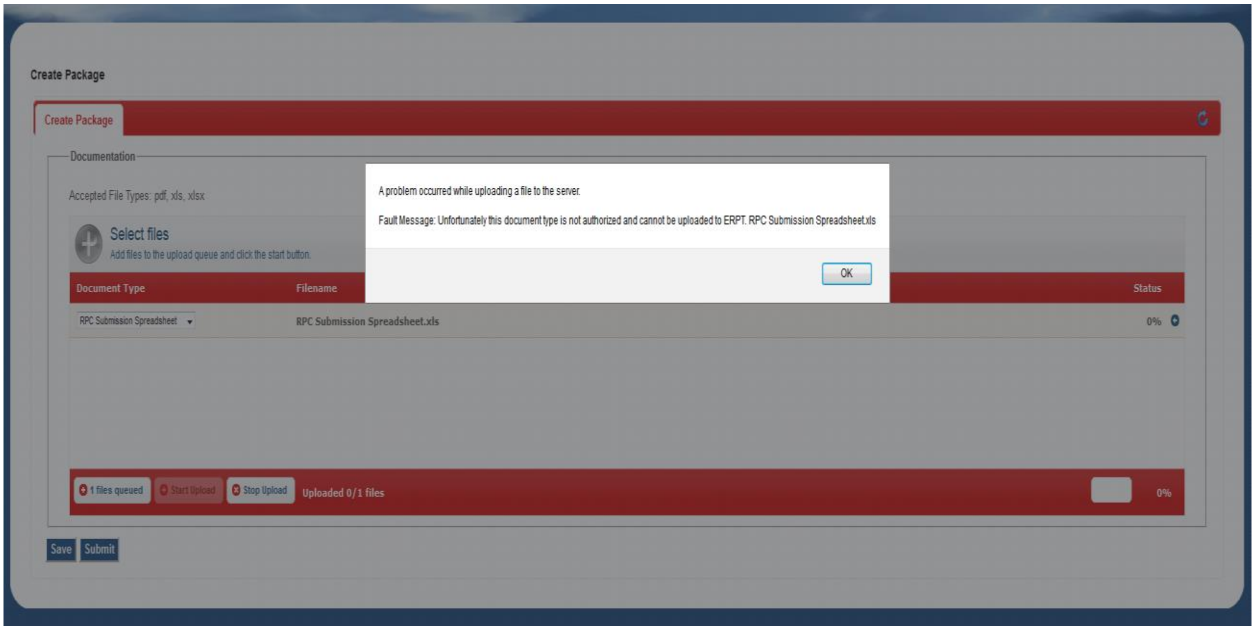
Figure 106: Steps to convert 'xlsm' to 'xls'



Note: This document is ready to be uploaded via the eRPT application for your Submission Package. Please make sure to follow the steps provided in the above section to convert all 'xlsm' documents. If the documents are not converted using other steps there is a tendency for the documents to get corrupted and the user will not be able to upload the documents via the eRPT application

11 If the documents are corrupted during conversion the user will receive the following error message during upload:

Figure 107: Steps to convert 'xlsm' to 'xls'



Note: This conversion should not modify any information that has already been added in your RPC Submission Spreadsheet. If you experience any issues, please contact the MAPD Help Desk at mapdhelp@cms.hhs.gov or 1-800-927-8069.

5. Troubleshooting & Support

Reference the below information should an error occur during usage of the eRPT system.

5.1 Error Messages

Based on the error message the user should contact the MAPD Help Desk. The user will need to create a ticket with the Help Desk. The user will need to provide the following information when reporting an issue,

- Error Message
- Package ID
- Steps followed to create the issue

5.2 Special Considerations

None

5.3 Support Points of Contact

Table 3: Support Point of Contact

Contact	Organization	Phone	Email	Role	Responsibility
MAPD Helpdesk	CMS	1-800-927-8069	mapdhelp@cms.hhs.gov	Help desk support	MAPD Help Desk can be contacted to report following issues: 1 Unable to Create a package 2 Unable to Update a package 3 Unable to upload documents on a package. 4 Unable to find a package. 5 Unable to a find a response document (FDR, Error Report etc). 6 Unable to find an approval letter. 7 Unable to search for response documents and approval letter. 8 Unable to view rejection notes. 9 Unable to download documents from the package. 10 Unable to delete documents on a package. 11 Unable to a delete a package. 12 Unable to find a review package / the user has not received a notification for EDV. 13 Unable to upload documents on a review package. 14 Unable to determine the status of the package. 15 Reopen a Review Package. 16 Unable to access

Contact	Organization	Phone	Email	Role	Responsibility
					notifications/actions.
RPC Client Services	Reed and Associates	402-315-3660	clientservices@reedassociatescpas.com	RPC Help Desk Support	RPC Client Services can be contacted to report following issues: 1 The package is closed and it is missing FDR or Error Report for transactions. 2 Need explanation on FDR Disposition Code. 3 Not sure on what the Category Code selection should be for a Package.

Appendix A

5.4 User Access

Table 4: Submission Package

	User Group	Create	View	Update	Delete (Soft)	Search	Add Documents	Comments
1.	The Plans	X	*X	*X	*X	*X	*X	All Plan users having an IACS will have access to create a Package. Only a Package Creator will be able to Read, Update, Delete and Search a Package. • Limited View Access - A Plan user can only view the submission Packages that were created by the Plan User. • Limited Update access - The Plan user can update only a draft submission Package that was created by the Plan User. • Limited Delete access - The Plan user can delete only a draft submission Package that was created by the respective Plan user. • Limited Search access - The Plan user can only search for a Package that was created the Plan user. • * Limited Add/Upload documents - The Plan user can Add/Upload documents to a submission Package that was created by the Plan user. *Note: Asterisk means the user will have limited access to the functionality.*
2.	Plan Package Creator	X	X	X	X	X	X	Package Creator will be able to Read, Update, Delete, and Search and add documents to a Package. • View Access - A Plan user can only view the submission Packages that were created by the Plan User.

User Group		Create	View	Update	Delete (Soft)	Search	Add Documents	Comments
								• Update access - The Plan user can update only a draft submission Package that was created by the Plan User. • Limited Delete access - The Plan user can delete only a draft submission Package that was created by the Plan user. • Search access - The Plan user can only search for a Package that was created by the Plan user. • Add/Upload documents - The Plan user can Add/Upload documents to a Draft Submission Package that was created by the Plan user. *Note: Asterisk means the user will have limited access to the functionality.*

Table 5: EDV Review Packages

User Group		Create	View	Update	Delete (Soft)	Search	Add/Upload Documents	Comments
1.	The Plans		*X	*X			*X	Users restricted by Contract #. All Plan users having an IACS/EUA ID will have access to upload documents for their respective Contract EDV/PayVal Review. • Limited Update access - The Plan user belonging to the contract will be able to mark the Package as complete. • Limited View Access - A Plan user can only view Packages belonging to their contracts. • Limited Add/Upload documents - A Plan user can

	User Group	Create	View	Update	Delete (Soft)	Search	Add/Upload Documents	Comments
								Add/Upload only response documents to a review Packages that were submitted to them. *Note: Asterisk means the user will have limited access to the functionality.*

Table 6: Transaction Inquiry Package

	User Group	Create	View	Update	Delete (Soft)	Search	Add/Upload Documents	Comments
1.	The Plans	X	*X	*X	*X	*X	*X	All Plan users having an IACS will have access to create a Package. Only a Package Creator will be able to Read, Update, Delete and Search a Package. • Create Access – A Plan user has complete access to create a package. • Limited Read Access - A Plan user can only view the transaction inquiry Package that was created by that Plan user. • Limited Update access - The Plan user can update only a draft transaction inquiry Package that was created by that Plan user. • Limited Delete access - The Plan user can delete only a draft transaction inquiry Package that was created by that Plan user. • *Limited Search - The Plan user can only search for a Package that was created by the Plan user • * Limited Add/Upload documents - The Plan user can Add/Upload documents to a transaction inquiry Package that was created by that Plan user. *Note: Asterisk means the user will have limited access to the functionality.*
2.	Package Creator	X	X	X	*X	X	X	Package Creator will be able to Read, Update, Delete, and

	User Group	Create	View	Update	Delete (Soft)	Search	Add/Upload Documents	Comments
								Search and add documents to a Package. • View Access - A Plan user can only view the submission Packages that were created by the Plan User. • Update access - The Plan user can update only a draft submission Package that was created by the Plan User. • Limited Delete access - The Plan user can delete only a draft submission Package that was created by the Plan user. • Search access - The Plan user can only search for a Package that was created by the Plan user. • Add/Upload documents - The Plan user can Add/Upload documents to a Draft Submission Package that was created by the Plan user. *Note: Asterisk means the user will have limited access to the functionality.*

Appendix B

A Package can be tracked in the eRPT application by referring to the status of the Package. The following are the status values and descriptions of the statuses that are supported in the eRPT application.

Note: The status value on a Package is dependent on the Package Type and Package Category.

Table 7: Package Status & Description

Package Status	Description
Draft	When a Package is created but not yet submitted to the eRPT application.
Pending RO Approval	When a Package is submitted by the Plan Users but waiting for the RO Approval Letter from the Regional Office Account Manager. This status is applicable only for Category 3 -> Submission Package
Open	When a submission Package is submitted to eRPT and ready for the RPC to download or when a review Package is uploaded for a Plan User to respond.
Completed	When a review Package is submitted by the Plan User with all the response documents.
Downloading	When the RPC is downloading the Package.
In Process	When the RPC is processing the Package.
Closed	When the processing of a retroactive submission Package has been completed by the RPC.

Appendix C

The following table lists the selections that will be available for users under Submission Documents and Response Documents tab:

Table 8: Document Selection

Type of User	Package Type - Category Code	Submission Documents	Response Documents
Plan User	Submission Package - Category 2	Package Documents	Final Disposition Reports Error Reports
	Submission Package - Category 3	Package Documents Regional Office Approval Letter	Final Disposition Reports Error Reports
	Submission Package – CTM	Package Documents	Final Disposition Reports Error Reports
	Submission Package – Payment Validation	Package Documents	Final Disposition Reports Error Reports
	Submission Package - Special	Package Documents	Final Disposition Reports Error Reports
	Submission Package - Resubmission	Package Documents	Final Disposition Reports Error Reports
	Transaction Inquiry Package	Package Documents	Package Documents
	Review Package	Package Documents	Package Documents

Appendix D

Following table lists the documents that are required and can be submitted during Package creation and submission:

Note: Please refer to the RPC SOP on the website regarding the supporting documentation

Table 9: Required Documents for Package Submission

Package Type	Document	eRPT Document Type Value
Submission Package - Category 2	• Cover Letter (PDF File) • Spreadsheet (xls or xlsx File) • Supporting Documentations (PDF(s) File(s))	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation
Submission Package - Category 3	• Cover Letter (PDF File) • Spreadsheet (xls or xlsx File) • Supporting Documentations (PDF(s) File(s))	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation
Submission Package - CTM	• Cover Letter (PDF File) • Spreadsheet (xls or xlsx File) • Supporting Documentations (PDF(s) File(s))	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation
Submission Package – Payment Validation	• Cover Letter (PDF File) • Spreadsheet (xls or xlsx File) • Supporting Documentations (PDF(s) File(s))	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation
Submission Package -	• Cover Letter (PDF File)	• RPC Cover Letter

Package Type	Document	eRPT Document Type Value
Resubmission	• Spreadsheet (xls or xlsx File) • Supporting Documentations (PDF(s) File(s))	• RPC Submission Spreadsheet • RPC Supporting Documentation
Submission Package - Special	• Cover Letter (PDF File) • Spreadsheet (xls or xlsx File) • Supporting Documentations (PDF(s) File(s)) *Note: Uploading documents to Special – Submission Package is optional*	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation
Transaction Inquiry Package	• Inquiry Request Form (xls or xlsx File)	• RPC Transaction Inquiry Request
Review Package	• Supporting Documentations (PDF(s) File(s))	• RPC Supporting Documentation

Acronyms

Table 10: Acronyms

Acronym	Literal Translation
RO AM	CMS Regional Office Account Manager
CMS	Centers for Medicare & Medicaid Services
EDV	Enrollment Data Validation
eRPT	Electronic Retroactive Processing Transmission
FDR	Final Disposition Report
IACS	Individual Authorized Access to CMS Computer Services
MA	Medicare Advantage
PAYVAL	Payment Validation
PDP	Prescription Drug Plan
RPC	Retroactive Processing Contractor
SOP	Standard Operating Procedure

Glossary

Table 11: Glossary

Term	Definition
Contract ID	A unique five-character alphanumeric identifier assigned by CMS's Health Plan Management System (HPMS) and Medicare Drug and Health Plan Contract Administration Group (MCAG) to qualifying organizations approved to offer Medicare Advantage health and cost plans. Medicare Advantage contract numbers are prefixed with the following alphabetic characters identifying the type of product offered or the type of organization approved to offer a particular health care plan and are followed by 4-digits: H or 9 = Local Managed Care Contractors R = Regional Managed Care Contractors S = Medicare Prescription Drug Plans F = Fallback Plans E= Employer Sponsored MA/MAPD Plans. For example, Hnnnn where nnnn=the assigned 4-digit number.
Error Reports	A list identifying specific transaction requests within the RPC Submission Spreadsheet submitted by a MA, MAPD and PDP sponsoring organizations which were unable to be imported into the RPC system. The report is returned to the submitter for correction and resubmission to the RPC.

Term	Definition
Final Disposition Report	A report indicating the CMS processing status of each transaction request that was previously submitted on the RPC Submission Spreadsheet and successfully imported into the RPC system for processing.
Follow-on Final Disposition Report	A report indicating the CMS processing status for RPC initiated transactions. These submissions are a result of RPC's inability to process due to CMS system errors; corrective actions performed by the RPC; or an action directed by a CMS Regional or Central Office user. The transactions on these reports may have originated from multiple package submissions and may be a follow-up response to the Plan's initial RPC Submission Spreadsheet.
MARx	Medicare Advantage Prescription Drug System, the name for the current application that processes enrollment and Plan payments for Medicare Advantage and Part D etc.
Actions	A system message triggered by a workflow or processing event that is displayed to the user within the eRPT application. The message typically instructs the user to take some form of action or informs the user that a specific processing event has occurred.
Parent Organization	The main corporate or non-subsidiary name of the organization offering a Plan, including a Part C and/or D Plan.
The Plans	Consist of Plan Sponsors or a designated submitting organization.

Term	Definition
Response Documents	The Documents that are added to the Package by the RPC user.
Retroactive Processing Contractor (RPC)	The CMS contractor responsible for processing retroactive beneficiary enrollment/disenrollment change requests submitted by Plan Sponsors.
Review Package	The Enrollment Data Validation (EDV) review process performed by the RPC consists of a monthly sample review of enrollment related transactions submitted to CMS. All organizations that submit activity via the MARx UI, or batch-submitted actions will be selected for review. The RPC will request supporting documentation for the transactions selected within the monthly EDV sample set. The monthly sample review will be for the previous month's activity in MARx reported on each organization's Transaction Reply Report (TRR). Upon receipt of the documentation, the RPC shall review the documentation submitted for the sampled transactions to verify the documentation provided by the organization supports the transaction submitted to CMS. The RPC will report all EDV findings to the appropriate CMS Regional Office (RO) Account Manager (AM) for final review and to address any follow-up needed on negative findings.
Scenario	A scenario is a sequence of steps taken to complete a user requirement, similar to a use case.
Submission Documents	These are the documents that are added to the Package during creation of a Submission Package.

Term	Definition
Submission Package	Retroactive enrollment-related transactions submitted by a Plan to RPC such as Enrollments, Disenrollments, Reinstatements, LIS Deeming Updates, Medicaids, and SCC changes. Submissions are further classified by the following types: 1. Category 2 - Timely retroactive enrollment transactions (including Payment Validation Adjustments and Caseworker Approved CTM Cases) that may be submitted to the RPC without additional RO approval. Please refer RPC's SOP on their website for the types of retroactive transactions that do not require RO Approval. 2. Category 3 - Untimely (i.e. current calendar month minus 3 months or more) or other (Special Cat 2 Cases, Guidance waivers, Documentation waivers and any other exceptions) retroactive transactions that may be submitted to the RPC requiring RO approval prior to submission. Please refer RPC's SOP on their website for the types of retroactive transactions that require RO Approval. 3. Compliant Tracking Module (CTM) - A retroactive request submitted by a Plan in order to address a complaint filed by a Medicare beneficiary or their caregiver via the Health Plan Management System Complaint Tracking Module (HPMS CTM). 4. Payment Validation (PayVal) - The Retroactive Processing Contractor (RPC) monthly review of a set of sample payments which consists of randomly selected

Term	Definition
	transactions submitted directly to CMS through MARx post MARx R&M release. Upon receipt of the documentation, the RPC shall review the documentation submitted for the sampled transactions to verify the documentation provided by the organization supports the transaction submitted to CMS. 5. Resubmission - Timely retroactive enrollment transactions (including Payment Validation Adjustments and Caseworker Approved CTM Cases) that have been previously submitted but not processed as requested by (NPAR) by the RPC and do not require additional RO approval for processing. 6. Special - A customized user Package submitted by the CMS Central Office Staff or Plan Users (with CMS approval) to RPC.
Submitting Organization	An organization with the authorized capability of submitting Packages/inquires to eRPT.
Transaction Inquiry Package	A request submitted by a Plan Sponsor to the Retroactive Processing Contractor (RPC) requesting the processing status of previously submitted retroactive transactions.
User Interface	The mechanism by which the user will view, search, create, delete and update Packages and documents in the eRPT application