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

Electronic Retroactive Processing Transmission (eRPT)

Plan User Manual

Version 3.4 FINAL
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1. Introduction

The basic purpose of this document is to provide instructions to Electronic Retroactive Processing Transmission (eRPT) 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 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- PDPs), 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 RPC.

The eRPT Plan Users will be able to view response documents and Enrollment Data Validation (EDV) Review Packages submitted by RPC via eRPT. The eRPT Plan Users will also have access to respond to EDV Review Packages by uploading supporting documents in the eRPT application.

2.1 Project Diagrams

Figure 1 is a high-level business process diagram of eRPT application implementation.

The eRPT Plan User interacts with the application via the Internet user interface to perform creation and submission of electronic retroactive packages, upload supporting documentation to packages, search and view packages created by the eRPT Plan User, and update or delete a draft submission package, view RPC’s response to a package and respond to RPC’s request to EDV Review package. All these actions pertain only to those contracts the user has access to.

Figure 1: eRPT Implementation High Level Business Process Diagram

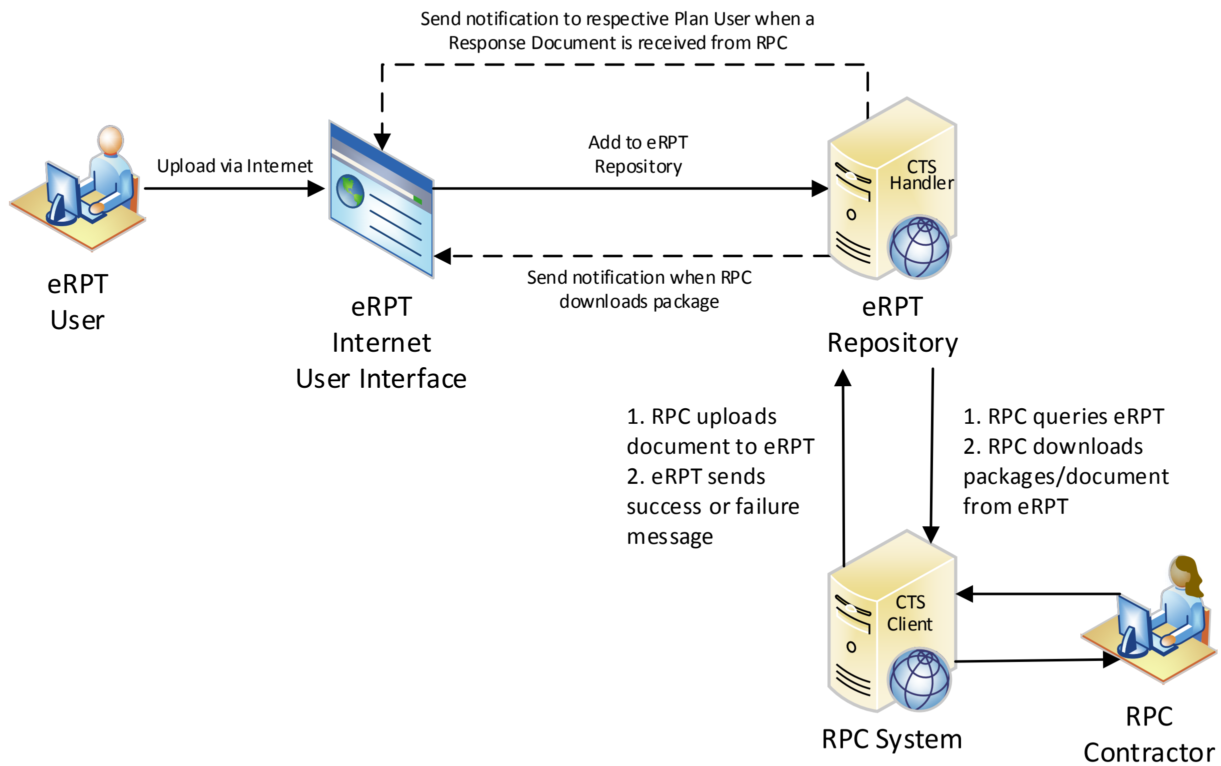


Table 1: eRPT Implementation High Level Business Process Event Description

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.).
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 Post-eRPT Implementation Process diagram refers to the instance when a notification message will be sent to the respective user within the eRPT application.

2.2 Conventions

This document provides screen prints and corresponding narrative to describe how to request access to eRPT application for an eRPT Plan User role and how to use the different functions from within the application as applicable to the user.

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

This section provides step-by-step instructions on how to request and gain access to the eRPT application.

3.1 Set-up Considerations

Prior to accessing the eRPT application, the following are the prerequisites to be met:

- You should have a CMS Enterprise Identity Management (EIDM) User ID.
- You should have the appropriate eRPT application user role associated to your EIDM ID.
- You should use Internet Explorer (IE), version 11.0 or higher. Although the eRPT system is accessible on other browsers such as Chrome, Firefox, etc. the recommended browser is IE.

3.2 User Access Considerations

The eRPT Plan Users will utilize their EIDM user account to access the application via the internet-facing user interface. Refer to Appendix A: User Access for your access to eRPT application.

3.3 Accessing the System

The eRPT application is integrated with the CMS Enterprise Portal. To access eRPT via the internet interface, you are required to have an EIDM ID and should have the eRPT Plan User role associated to your account.

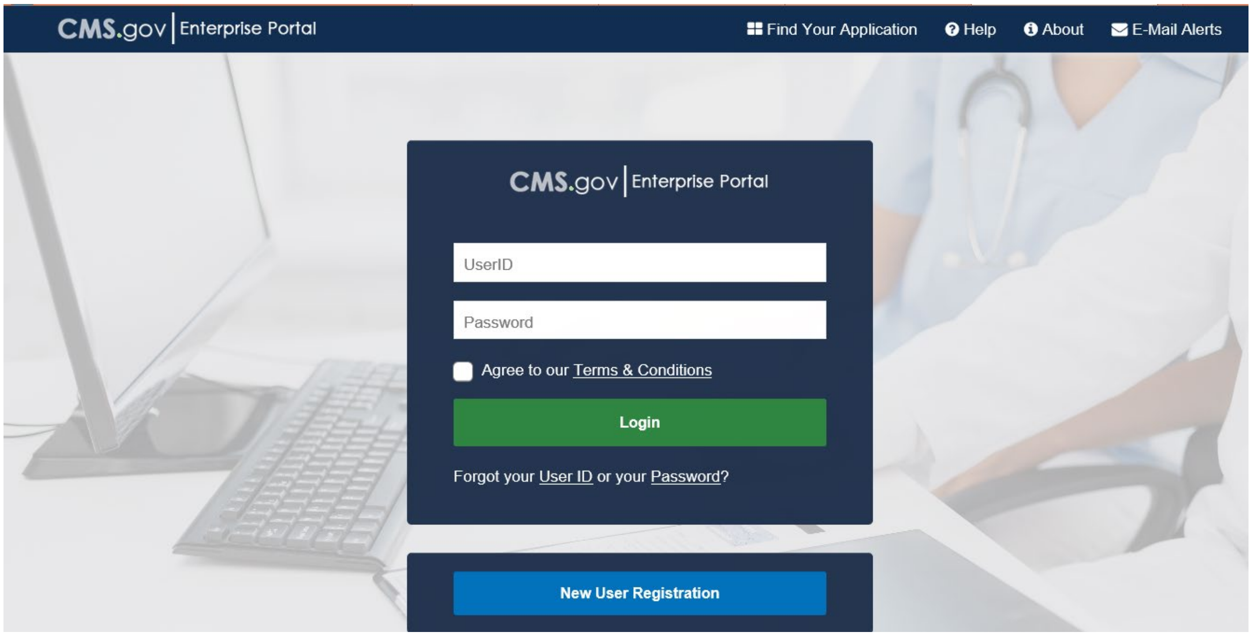
3.3.1 Registering in CMS Enterprise Portal

This section illustrates the steps to register in CMS Enterprise Portal and create a User ID (EIDM ID). If you are already registered and have an EIDM ID, refer to Section 3.3.2 to go through the steps to request access to the eRPT Plan User role.

1. Open your internet browser (recommended browser is "Internet Explorer") and enter the following URL https://portal.cms.gov (you may also bookmark or save this URL in your

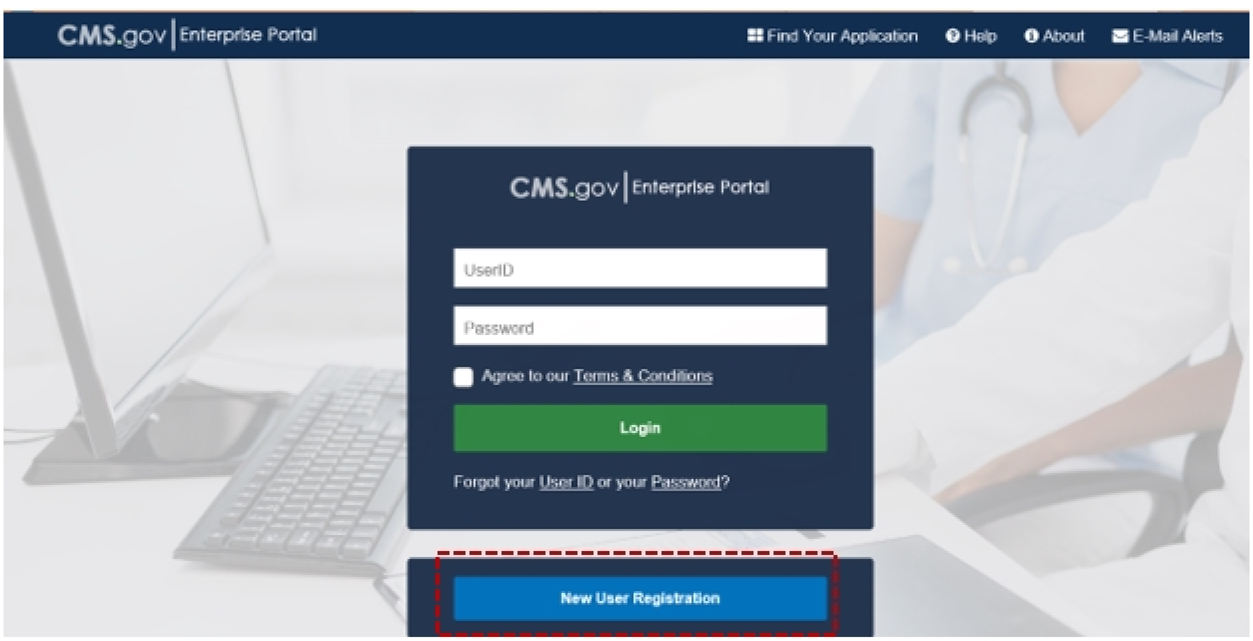
browser's favorites website list) that will navigate you to the "CMS Enterprise Portal" login page as you see in the screenshot below. **Note:** If you are connected to the CMS Virtual Private Network (VPN), use the following CMS intranet URL: https://portal.cms.cmsnet/.

Figure 2: Registering in CMS Enterprise Portal for an EIDM User ID – Step 1



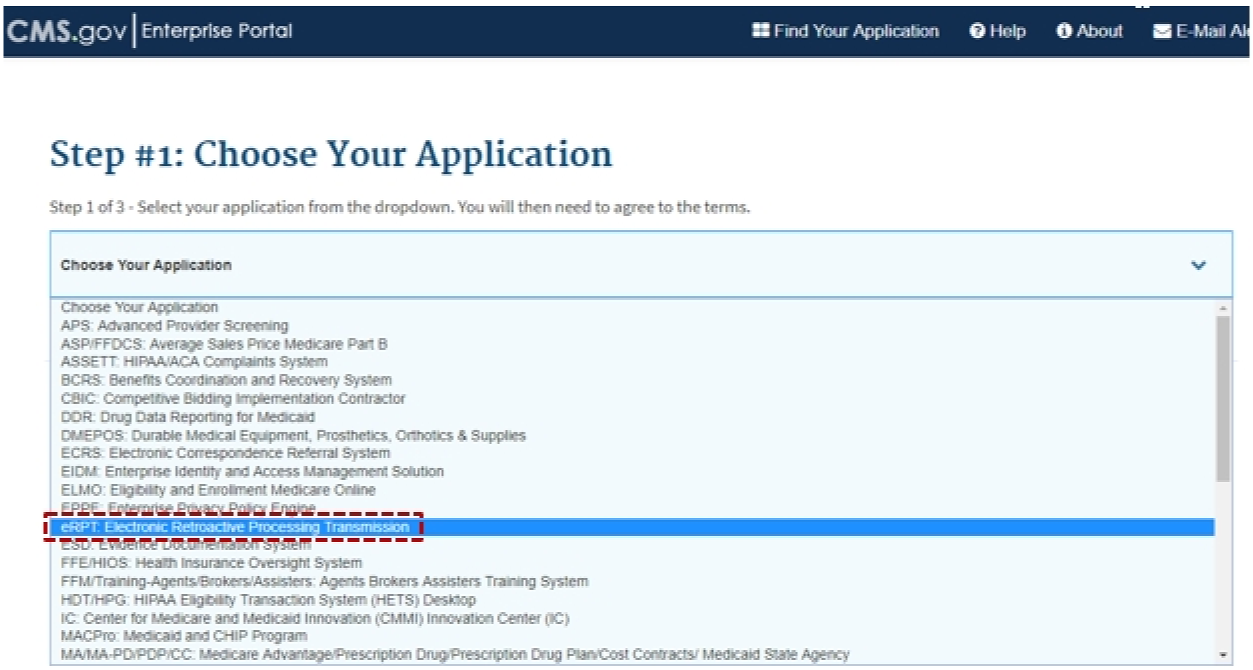
2. Click "New User Registration".

Figure 3: Registering in CMS Enterprise Portal for an EIDM User ID – Step 2



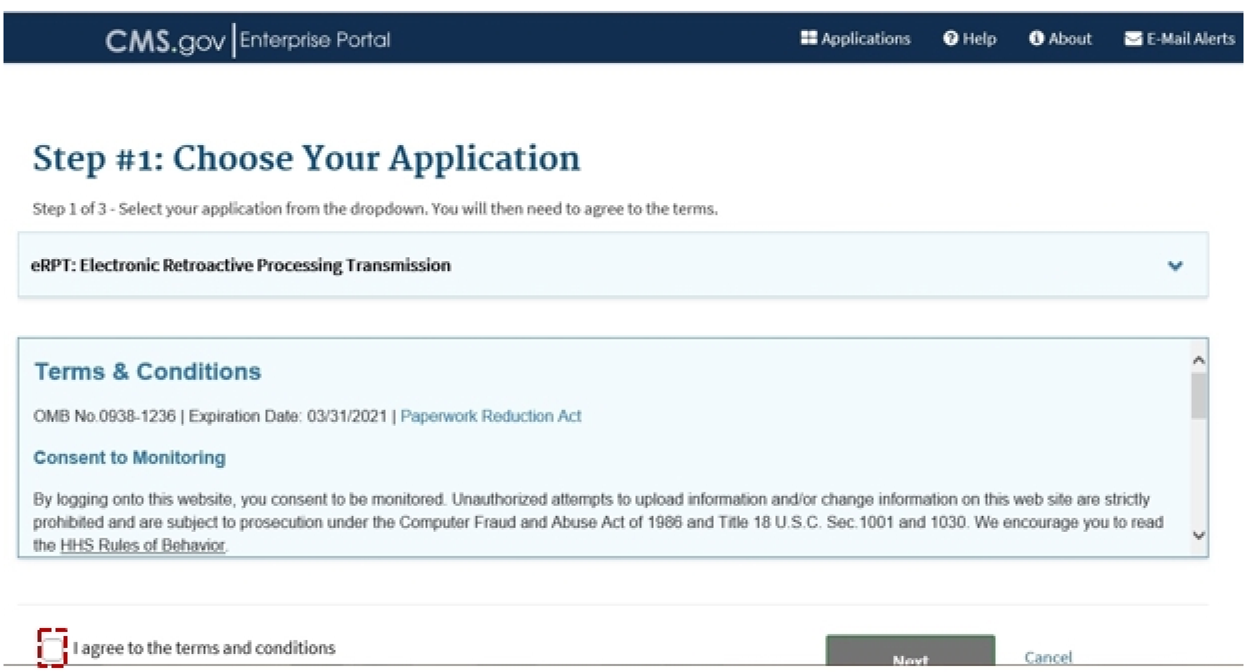
3. Choose your application. For example, if you want to request access to the eRPT application choose "eRPT: Electronic Retroactive Processing Transmission" from the drop-down list.

Figure 4: Registering in CMS Enterprise Portal for an EIDM User ID – Step 3



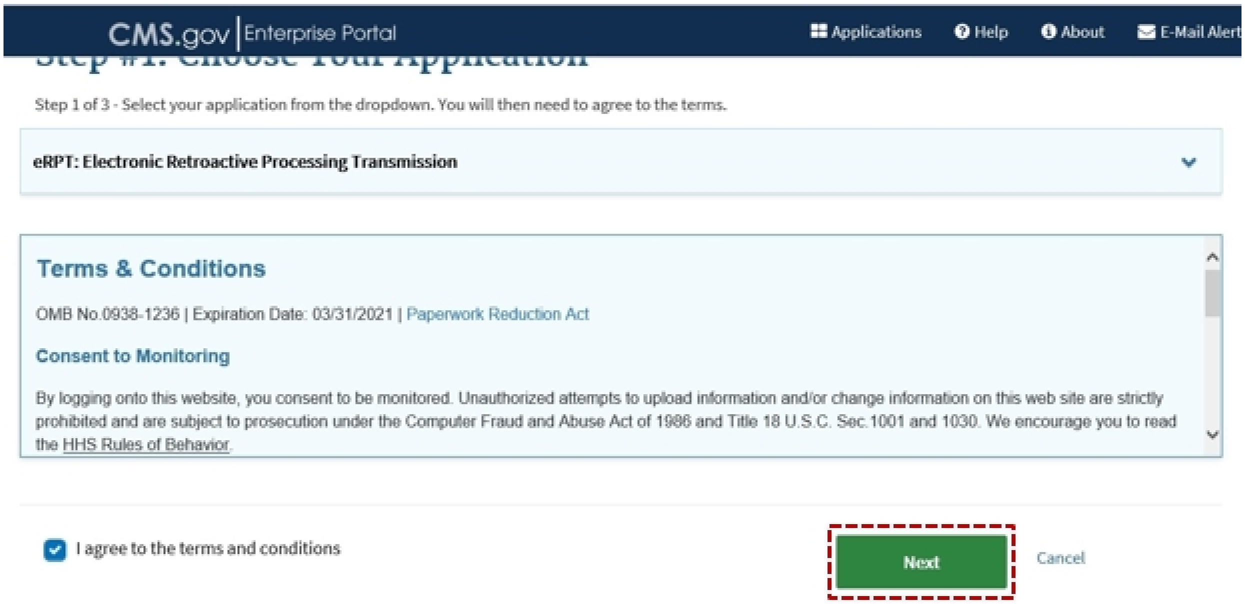
4. Read the Terms & Conditions and select the check-box to agree to the terms and conditions.

Figure 5: Registering in CMS Enterprise Portal for an EIDM User ID – Step 4



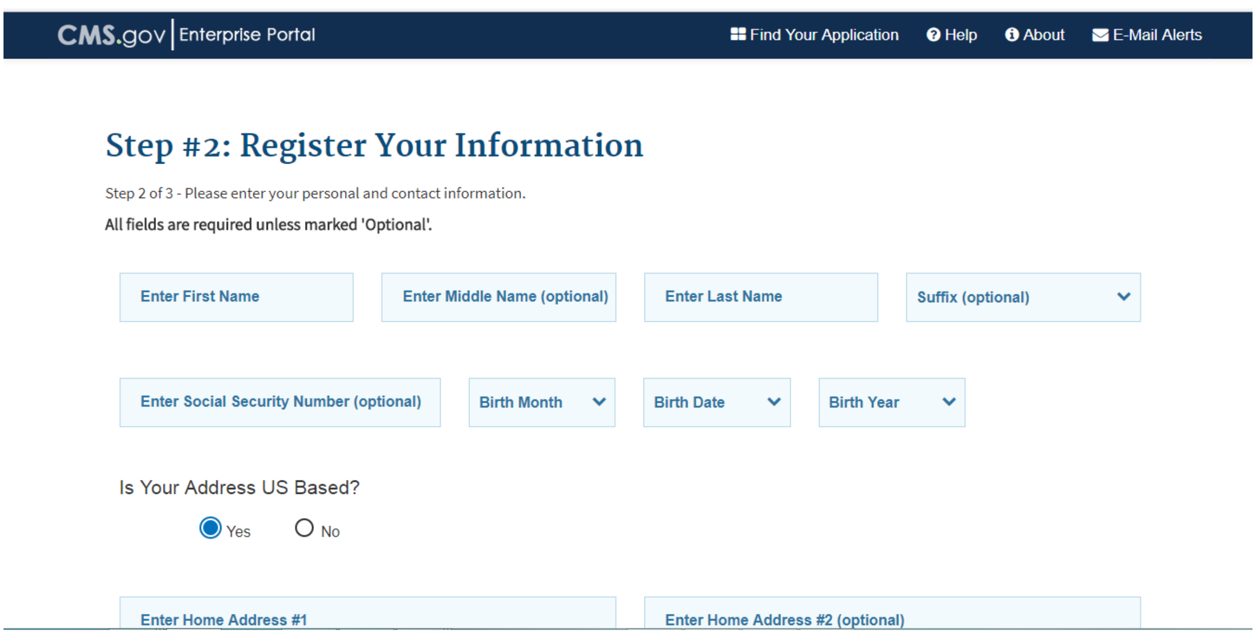
5. Click “Next”.

Figure 6: Registering in CMS Enterprise Portal for an EIDM User ID – Step 5



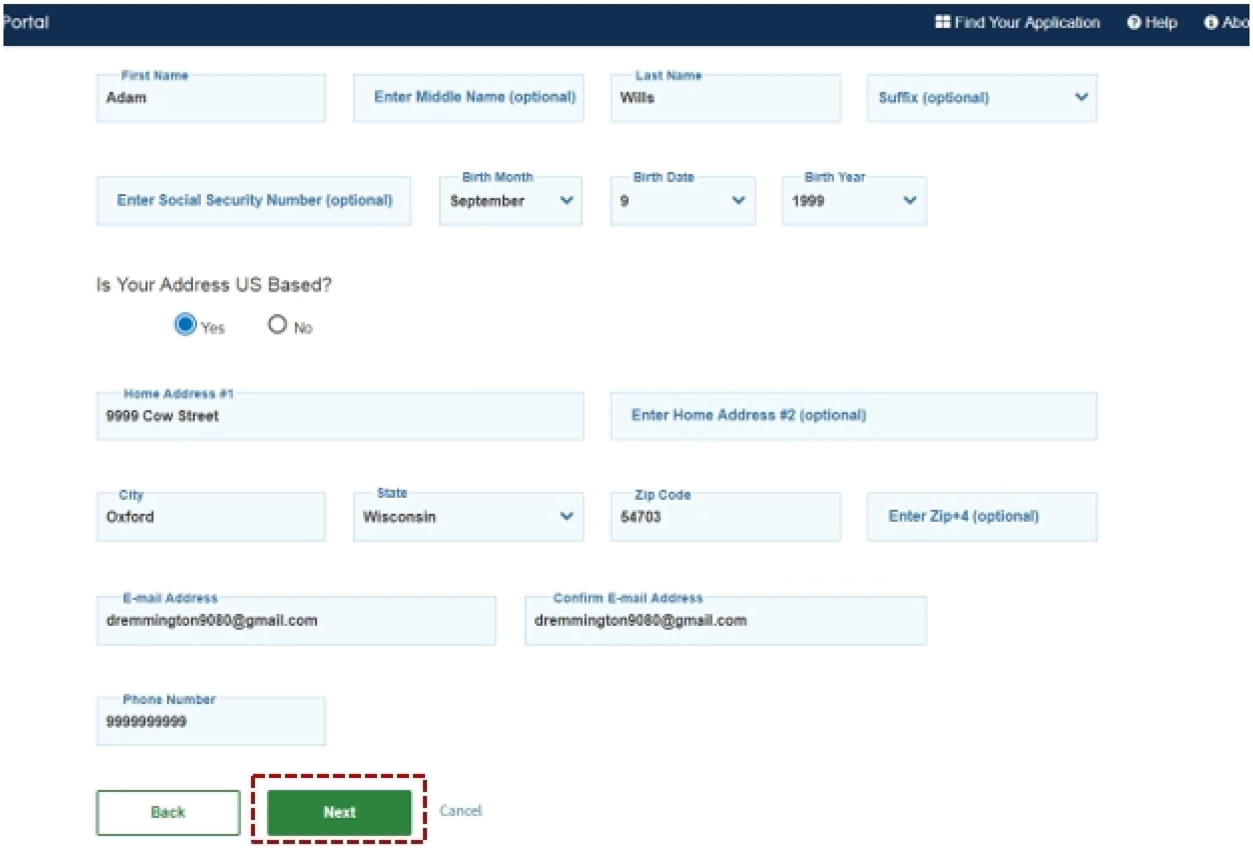
6. Provide all required information on this page. All fields are required unless marked optional.

Figure 7: Registering in CMS Enterprise Portal for an EIDM User ID – Step 6



7. After you provide all the required information, click “Next”.

Figure 8: Registering in CMS Enterprise Portal for an EIDM User ID – Step 7



8. Create a User ID and Password and provide answers to the security questions.

Figure 9: Registering in CMS Enterprise Portal for an EIDM User ID – Step 8

Figure 10: Registering in CMS Enterprise Portal for an EIDM User ID – Step 8a

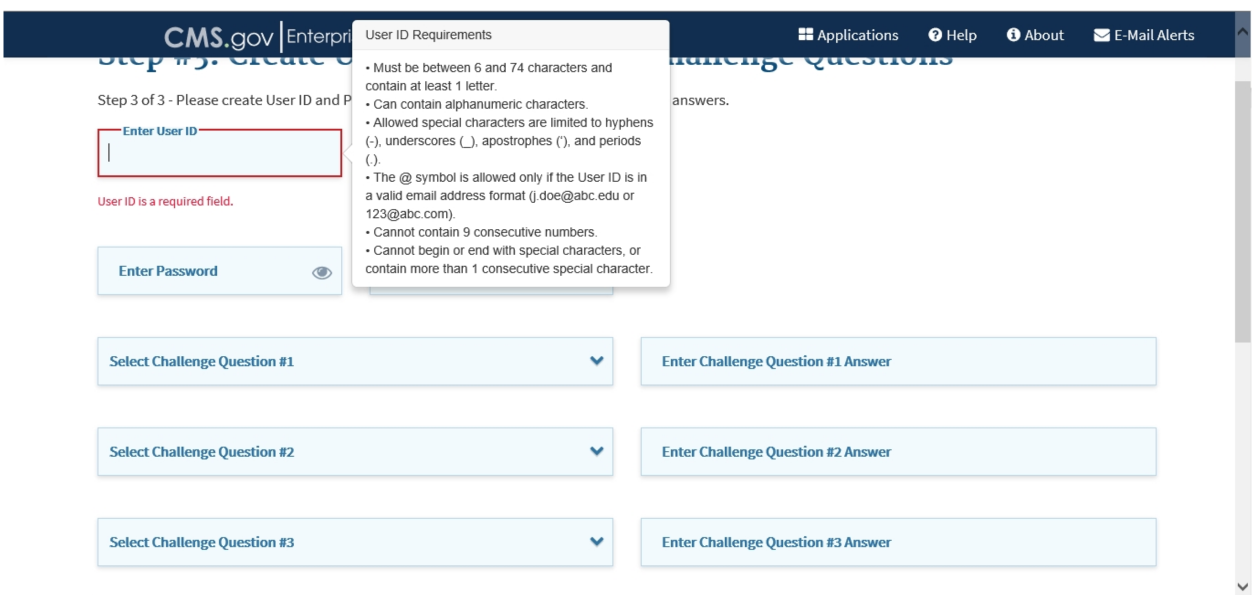
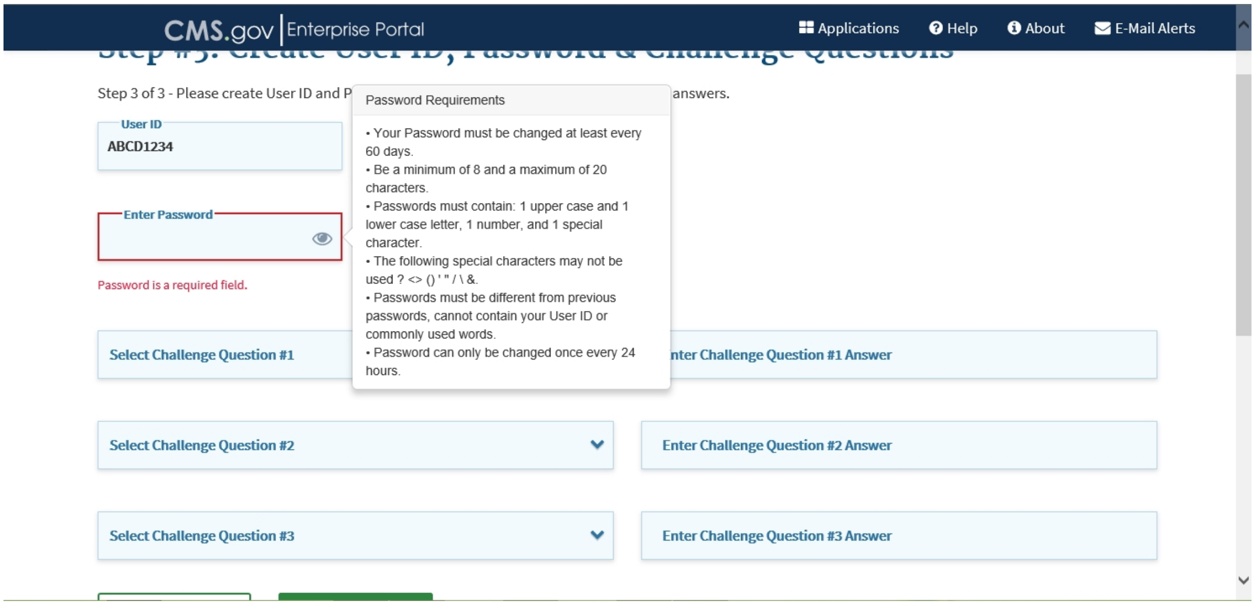
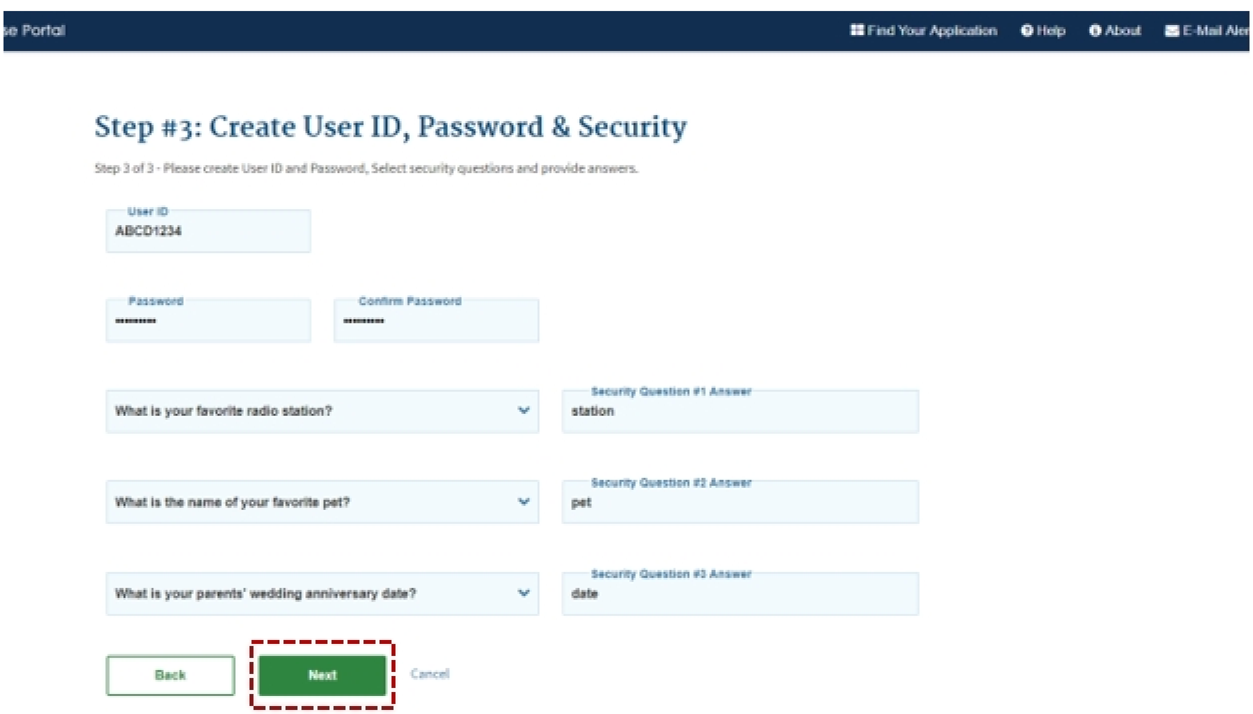


Figure 11: Registering in CMS Enterprise Portal for an EIDM User ID – Step 8b



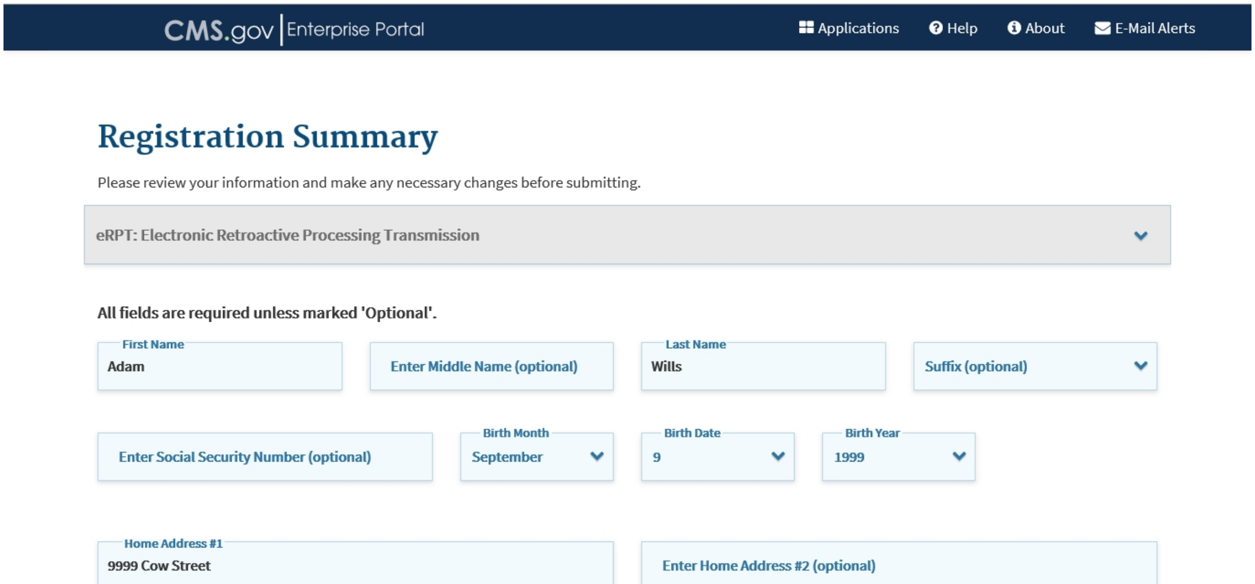
9. After you have provided the User ID, Password, and answers to the security questions, click "Next".
   Note: The information provided in Figure 12 is for illustration purpose only. Your answers to the security questions will be required to unlock your account, under the circumstance when your account gets locked.

Figure 12: Registering in CMS Enterprise Portal for an EIDM User ID – Step 9



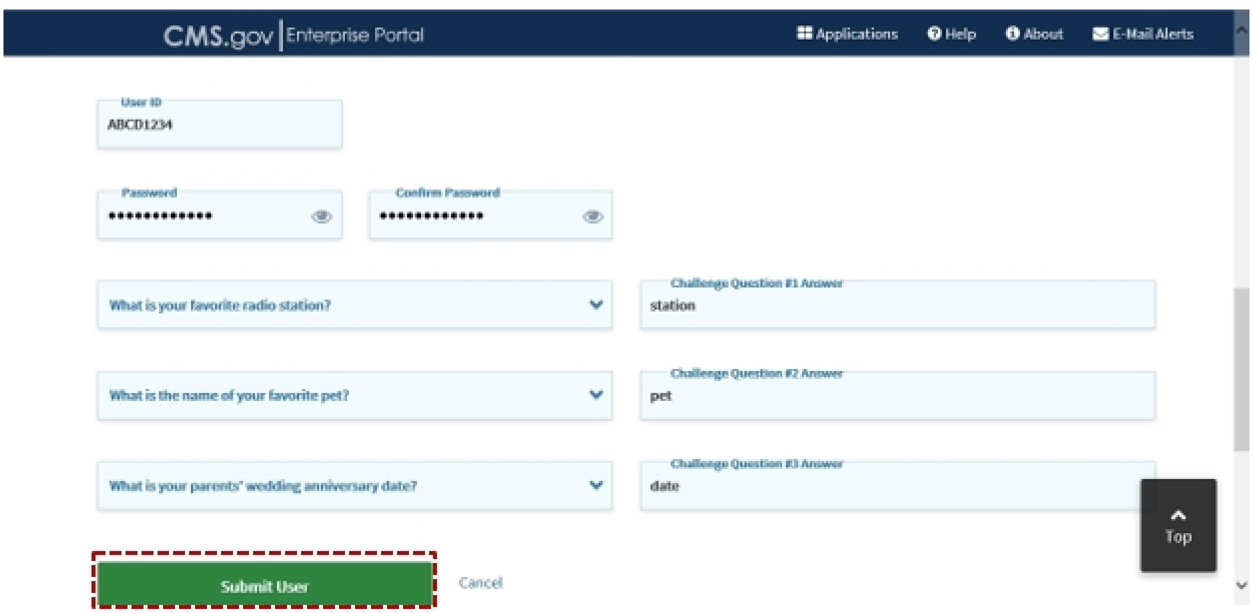
10. Based on your action in Step 9, the Registration Summary page is displayed.

Figure 13: Registering in CMS Enterprise Portal for an EIDM User ID – Step 10



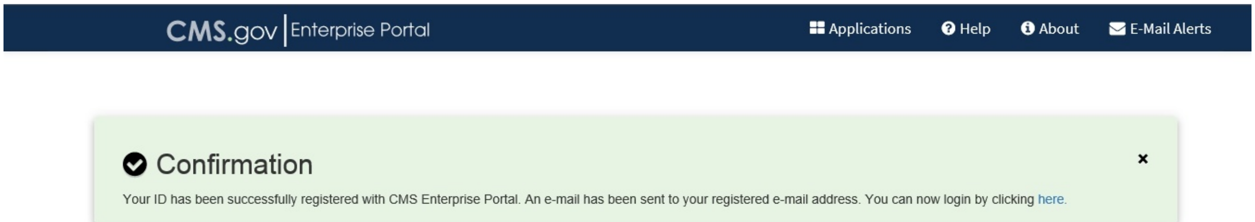
11. Scroll to the bottom of the Registration Summary page and click "Submit User".

Figure 14: Registering in CMS Enterprise Portal for an EIDM User ID – Step 11



12. The Registration Confirmation page is displayed. An email will be sent to the registered email address with the subject "CMS Enterprise Identity Management System (EIDM) Account Registration" acknowledging successful completion of the registration process.

Figure 15: Registering in CMS Enterprise Portal for an EIDM User ID – Step 12

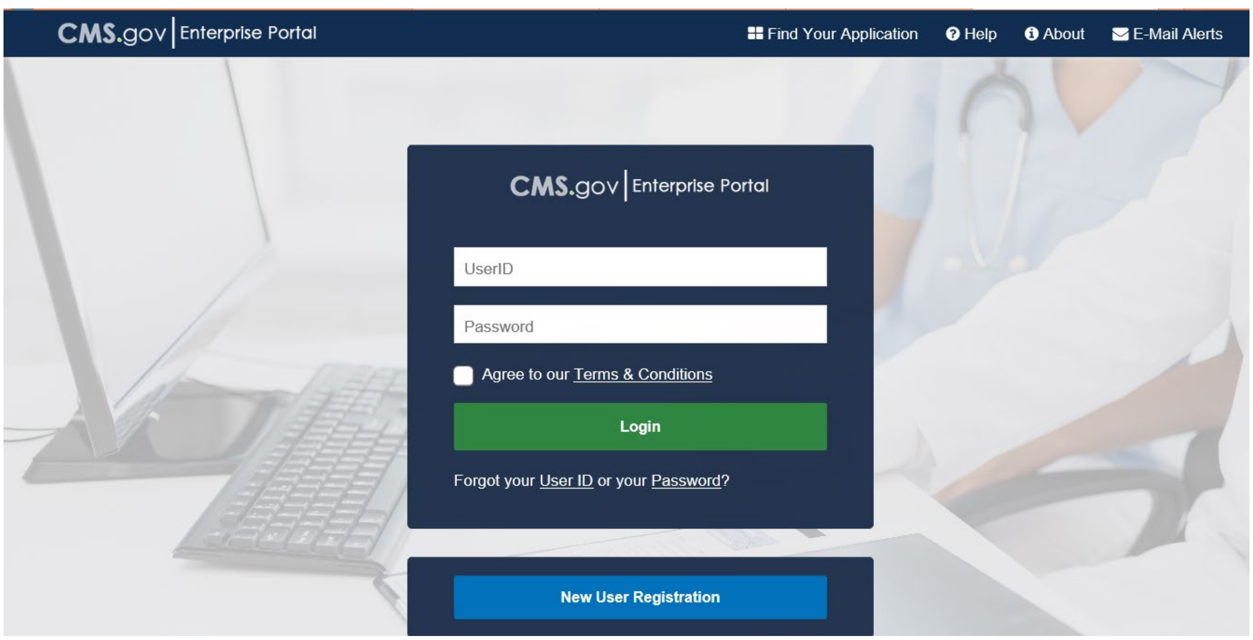


3.3.2 Requesting Access to the eRPT Application

To request access to the “eRPT Plan User” user role, login to CMS Enterprise Portal using your EIDM User ID and follow the steps below:

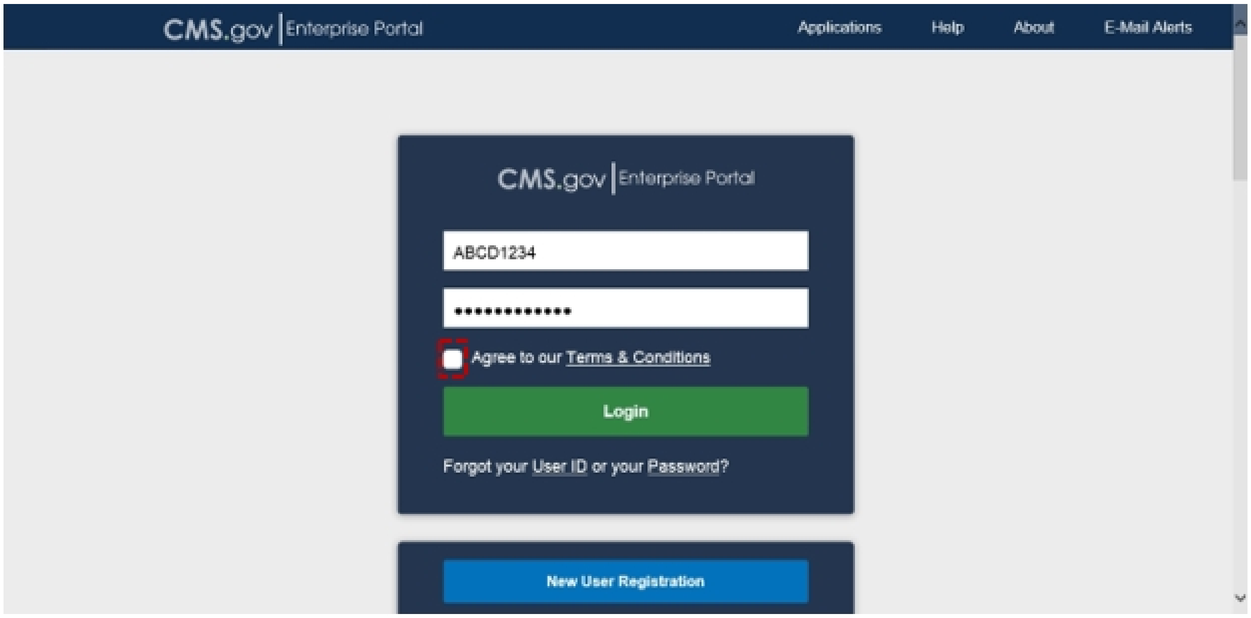
1. Open your internet browser (recommended browser is “Internet Explorer”) and enter the following URL https://portal.cms.gov (you may also bookmark or save this URL in your browser’s favorites website list) that will navigate you to the “CMS Enterprise Portal” login page. On this page, provide your registered EIDM User ID and Password.

Figure 16: Requesting Access to the eRPT Application – Step 1



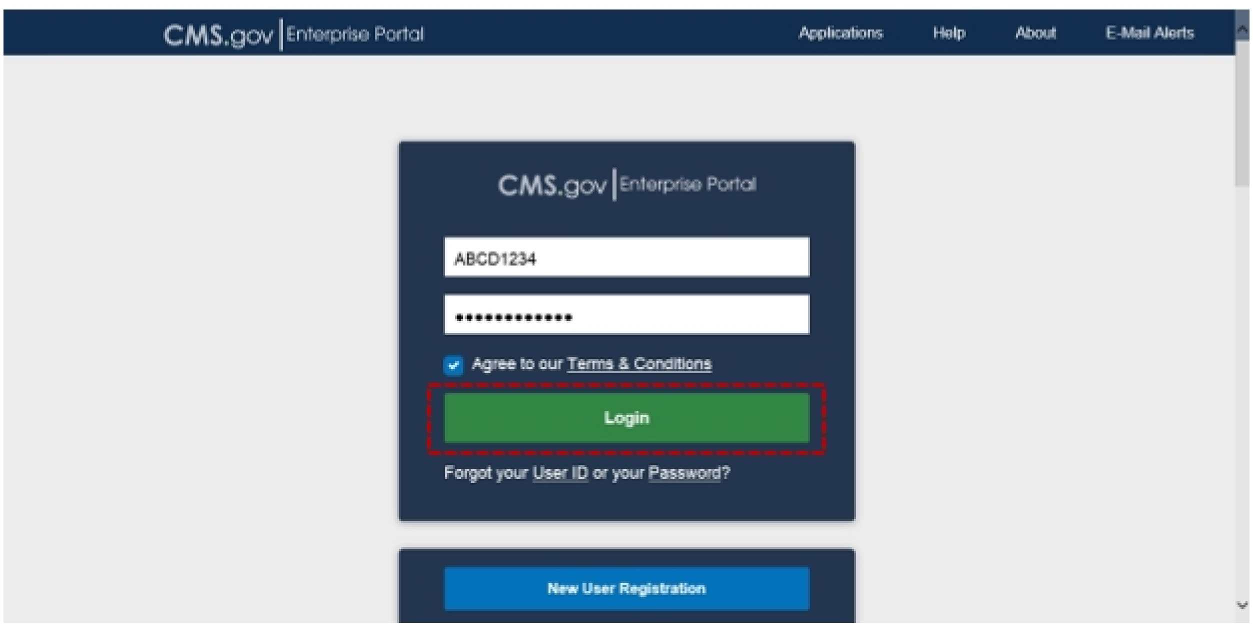
2. Select the checkbox to agree to the Terms and Conditions.

Figure 17: Requesting Access to the eRPT Application – Step 2



3. Click “Login”.

Figure 18: Requesting Access to the eRPT Application – Step 3



4. Click “Request/Add Apps” tab.

Figure 19: Requesting Access to the eRPT Application – Step 4

5. The screenshot you see below is the CMS Enterprise Portal's My Access/Access Catalog page. On this page, type the name of the application you want to request access to in the text box.

Figure 20: Requesting Access to the eRPT Application – Step 5a

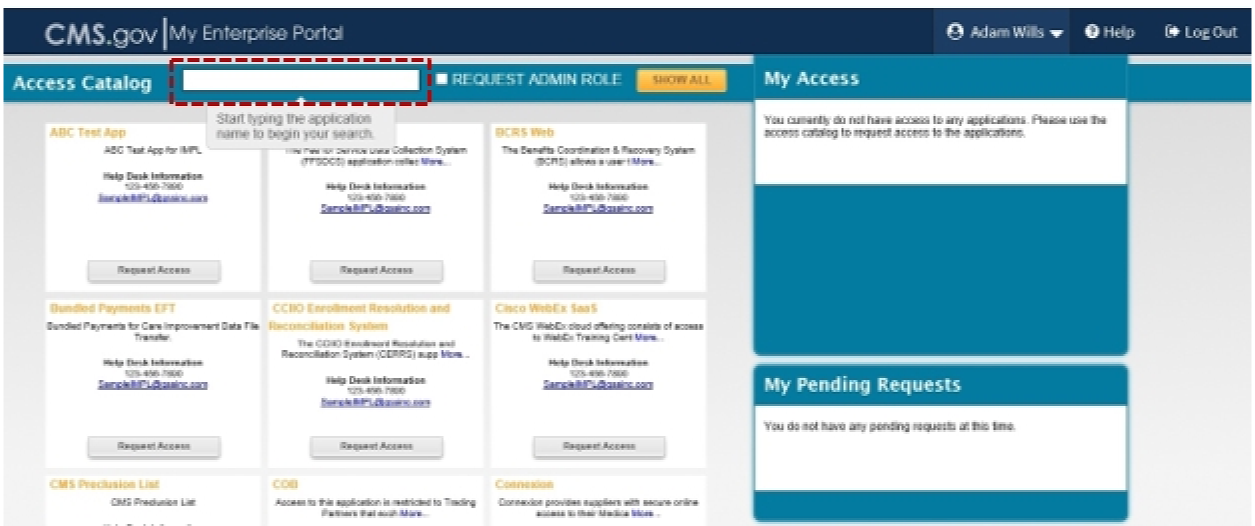
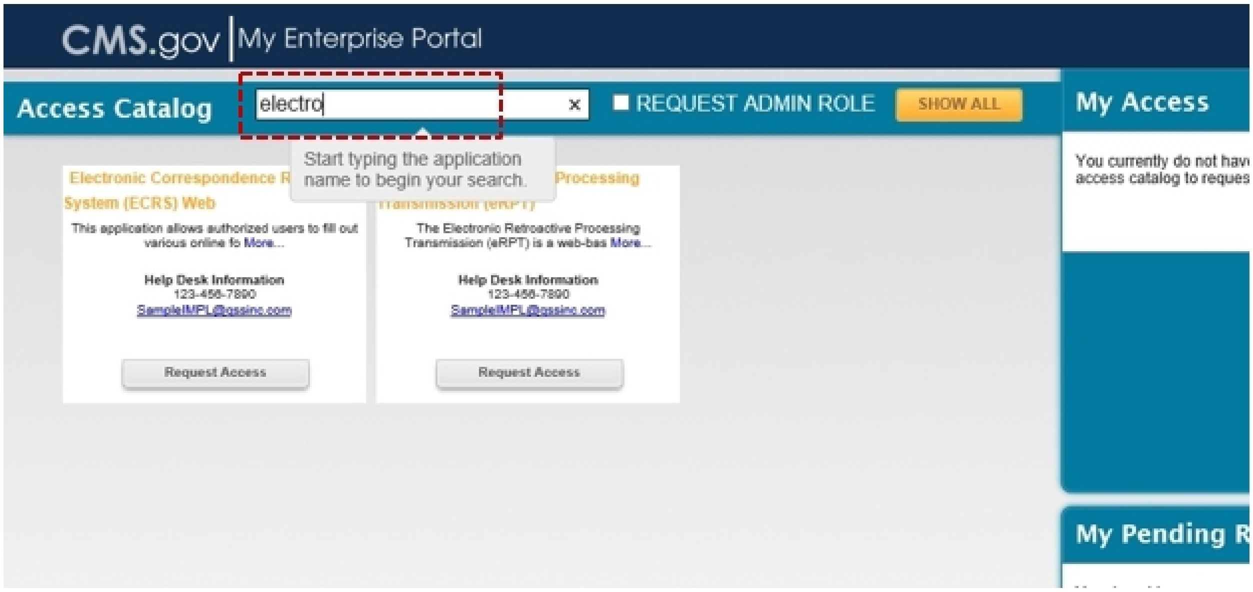
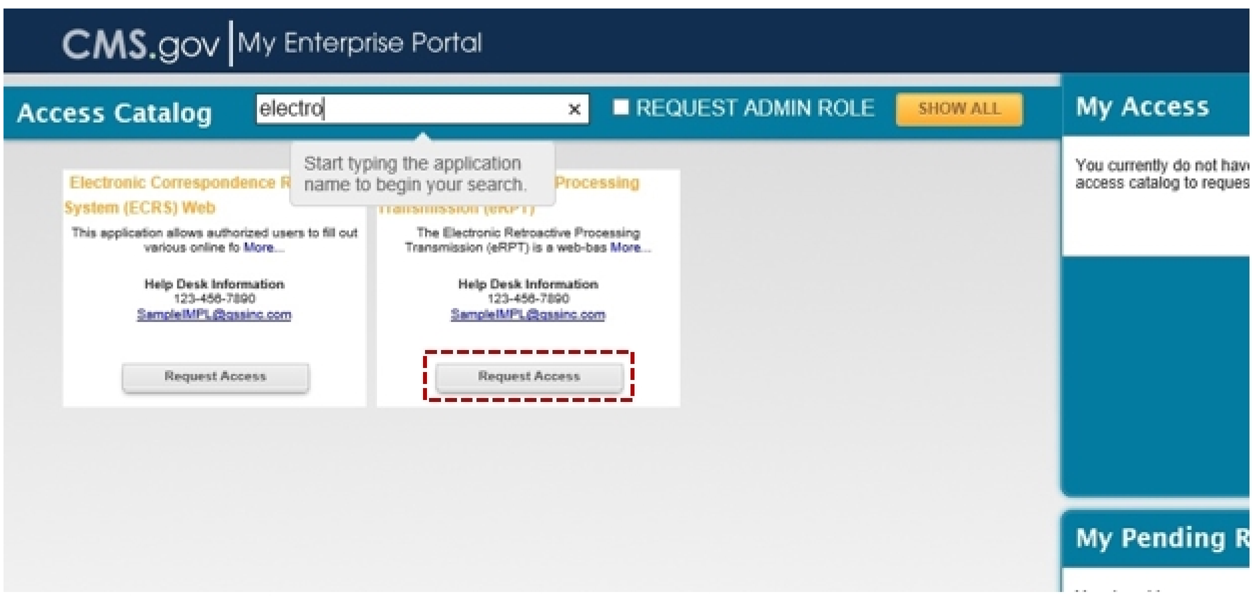


Figure 21: Requesting Access to the eRPT Application – Step 5b



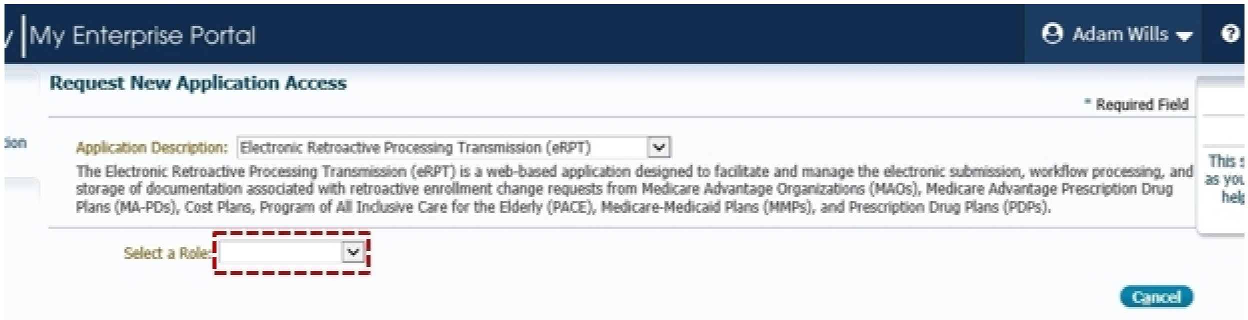
6. Click “Request Access”.

Figure 22: Requesting Access to the eRPT Application – Step 6



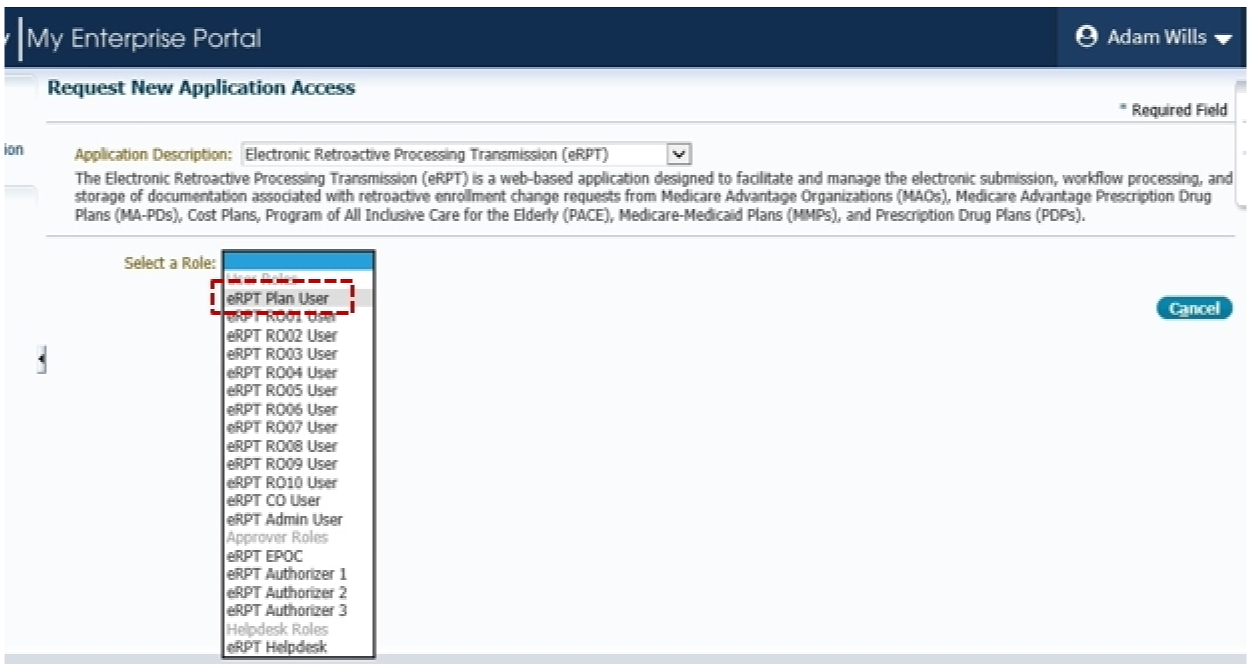
7. Click “Select a Role” drop-down field.

Figure 23: Requesting Access to the eRPT Application – Step 7



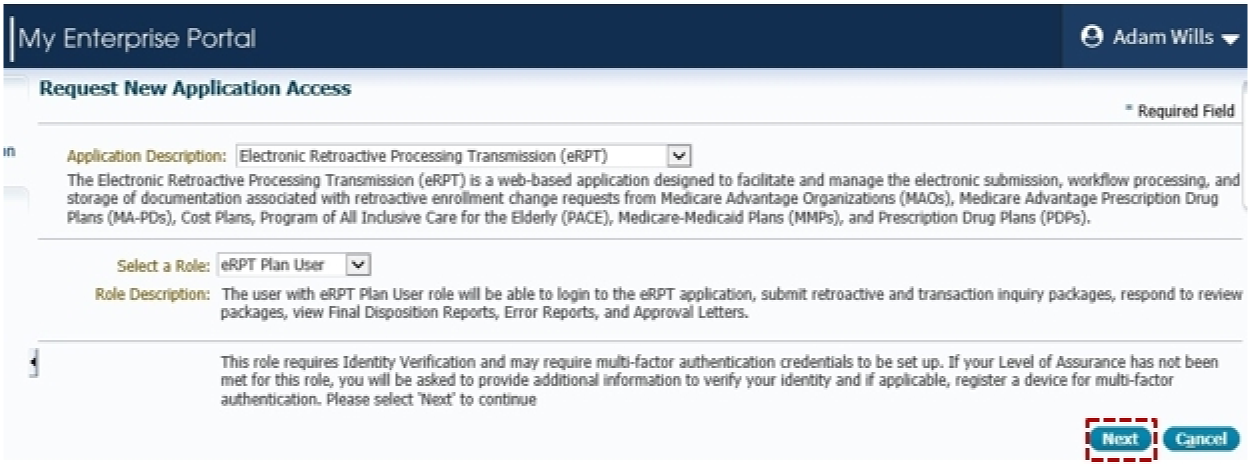
8. Select “eRPT Plan User” from the drop-down list.

Figure 24: Requesting Access to the eRPT Application – Step 8



9. Click “Next”.

Figure 25: Requesting Access to the eRPT Application – Step 9



Note:

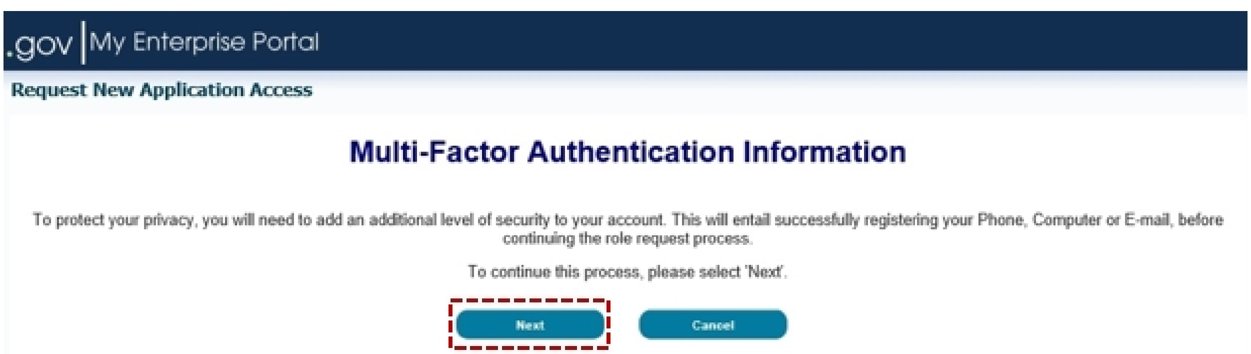
After Step 9,

- You will be required to complete Identity Verification as required by your role*.
- You are also required to register a device for Multi-Factor Authentication (MFA) for added security and privacy. Refer to Steps 10 through 13 to complete adding a device for MFA.

* At the Identity Verification step, you are required to provide correct responses to all the questions to help the system verify your identity. Since the user account to illustrate these steps is a test user account, the Identity Verification step is not illustrated here.

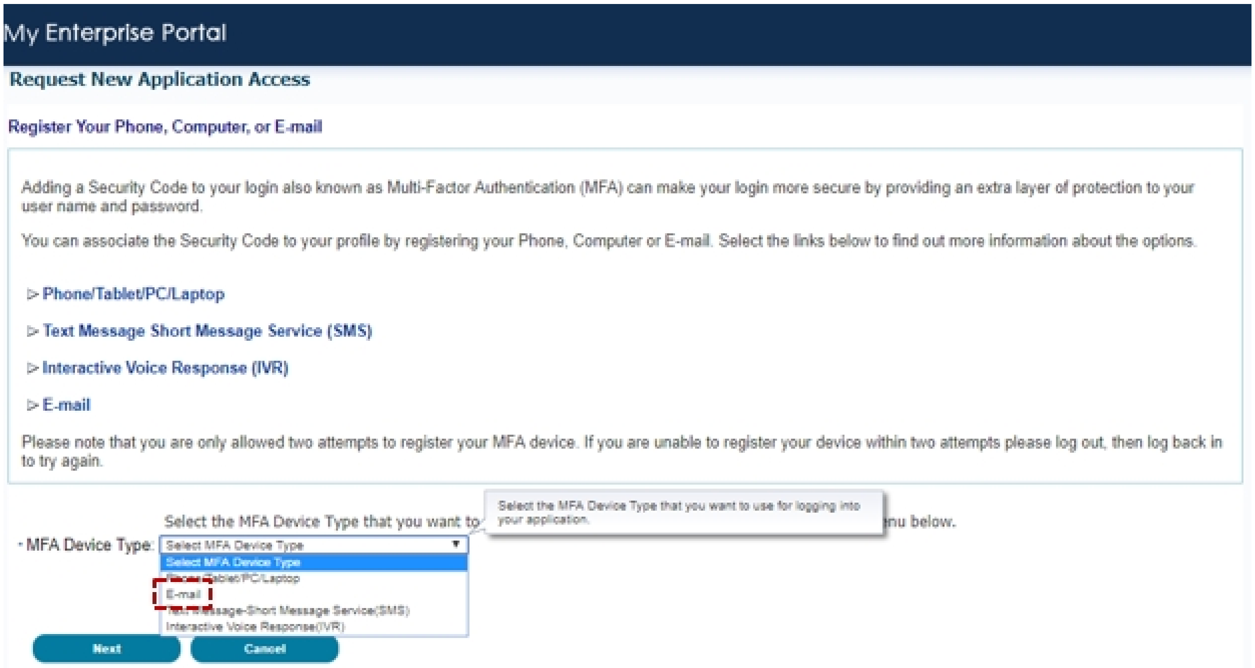
10. Click “Next”.

Figure 26: Requesting Access to the eRPT Application – Step 10



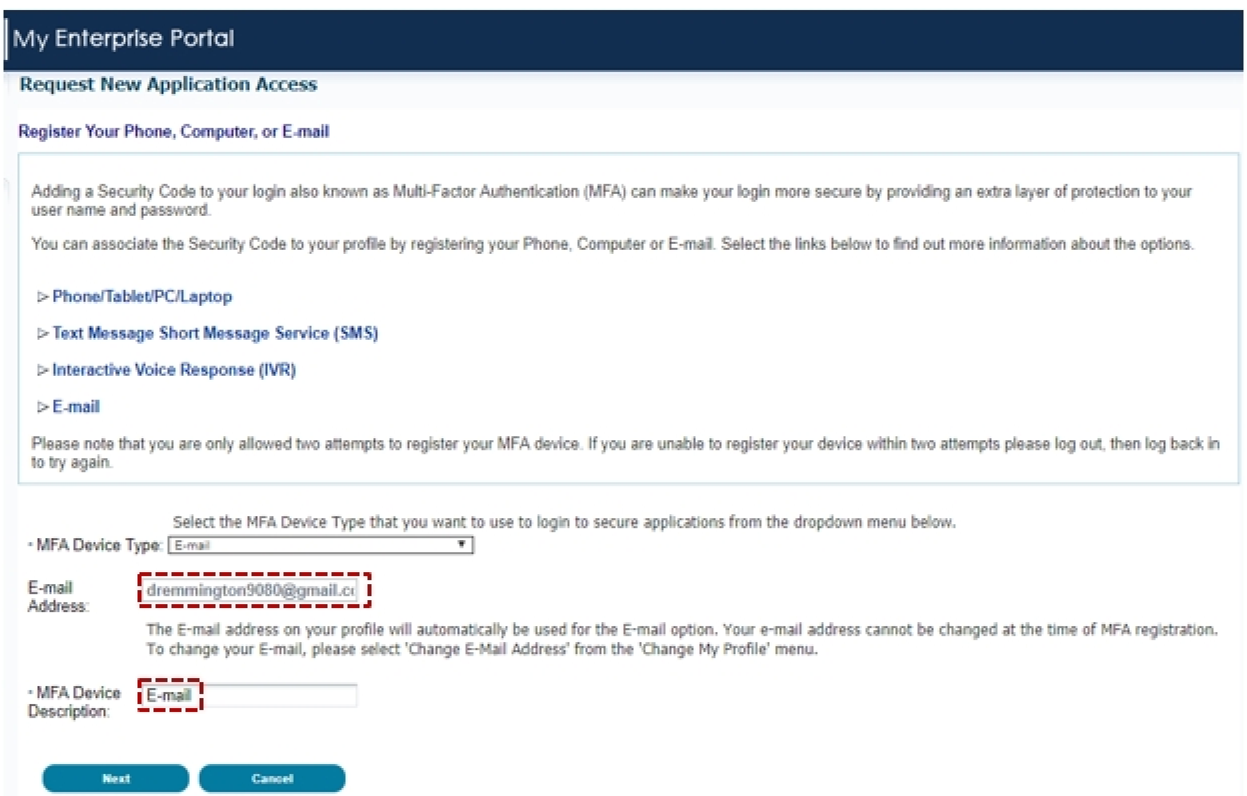
11. You are required to associate your Mobile Phone, Computer/Laptop/Tablet, or E-mail as the MFA Device Type to your EIDM User ID. This action is to help ensure your login is more secure each time of your logging in to the CMS Enterprise Portal.
    For illustration purposes, let us choose “E-mail” from the drop-down list. This is going to be your email address while you registered in CMS Enterprise Portal.

Figure 27: Requesting Access to the eRPT Application – Step 11



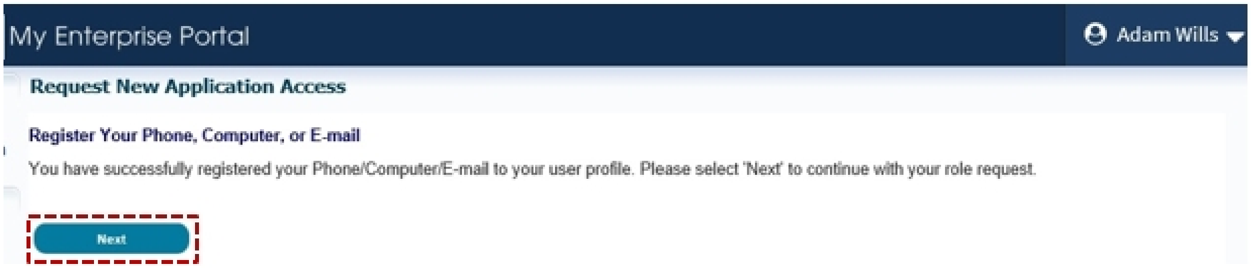
12. Provide a description for the MFA Device in the “MFA Device Description” field and click “Next”.

Figure 28: Requesting Access to the eRPT Application – Step 12



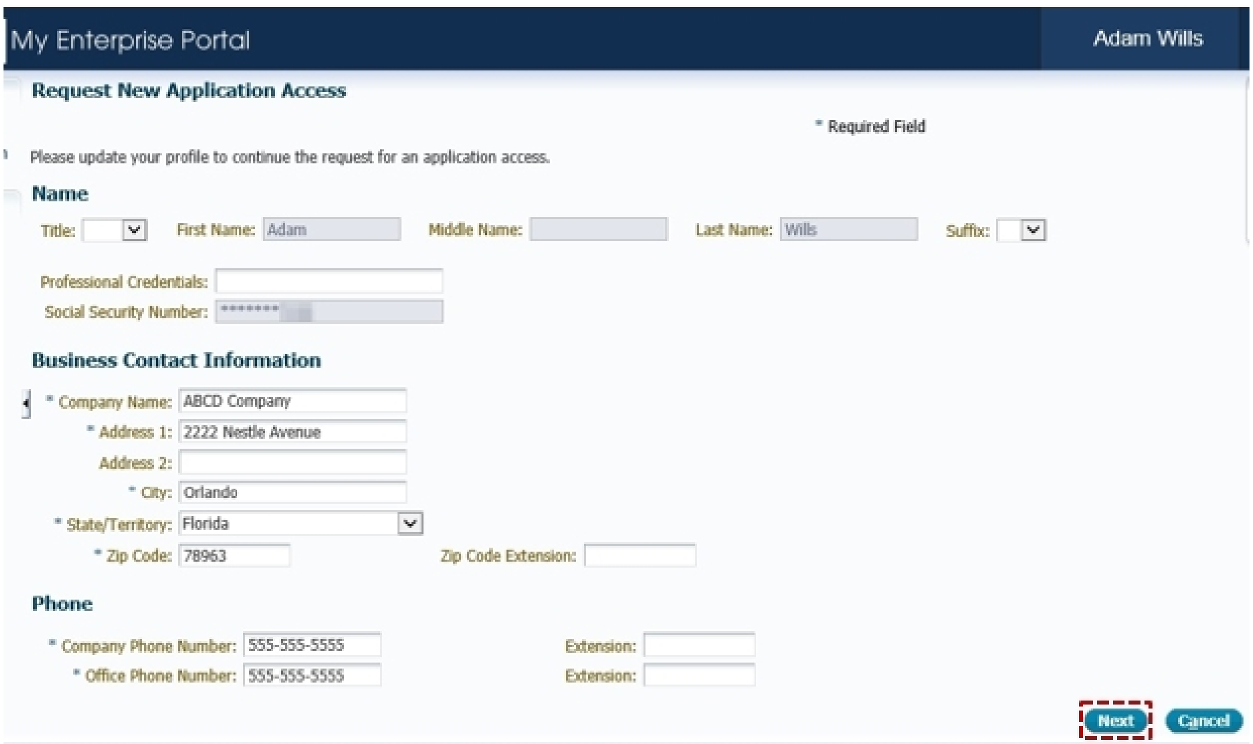
13. Click “Next”.

Figure 29: Requesting Access to the eRPT Application – Step 13



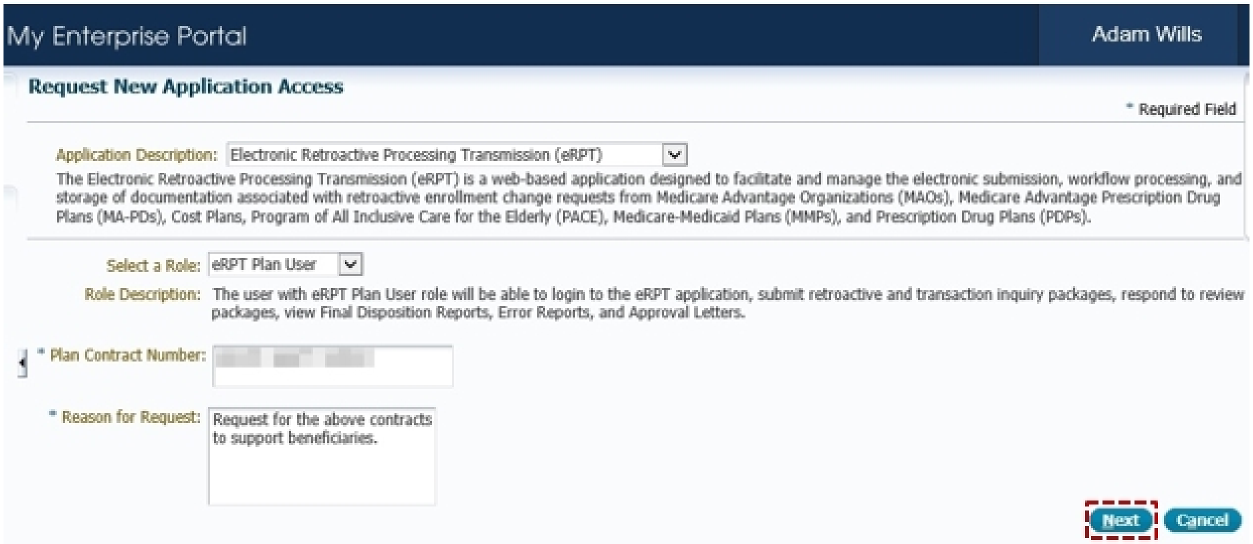
14. Complete Business Contact Information and Phone. Then, click “Next”.

Figure 30: Requesting Access to the eRPT Application – Step 14



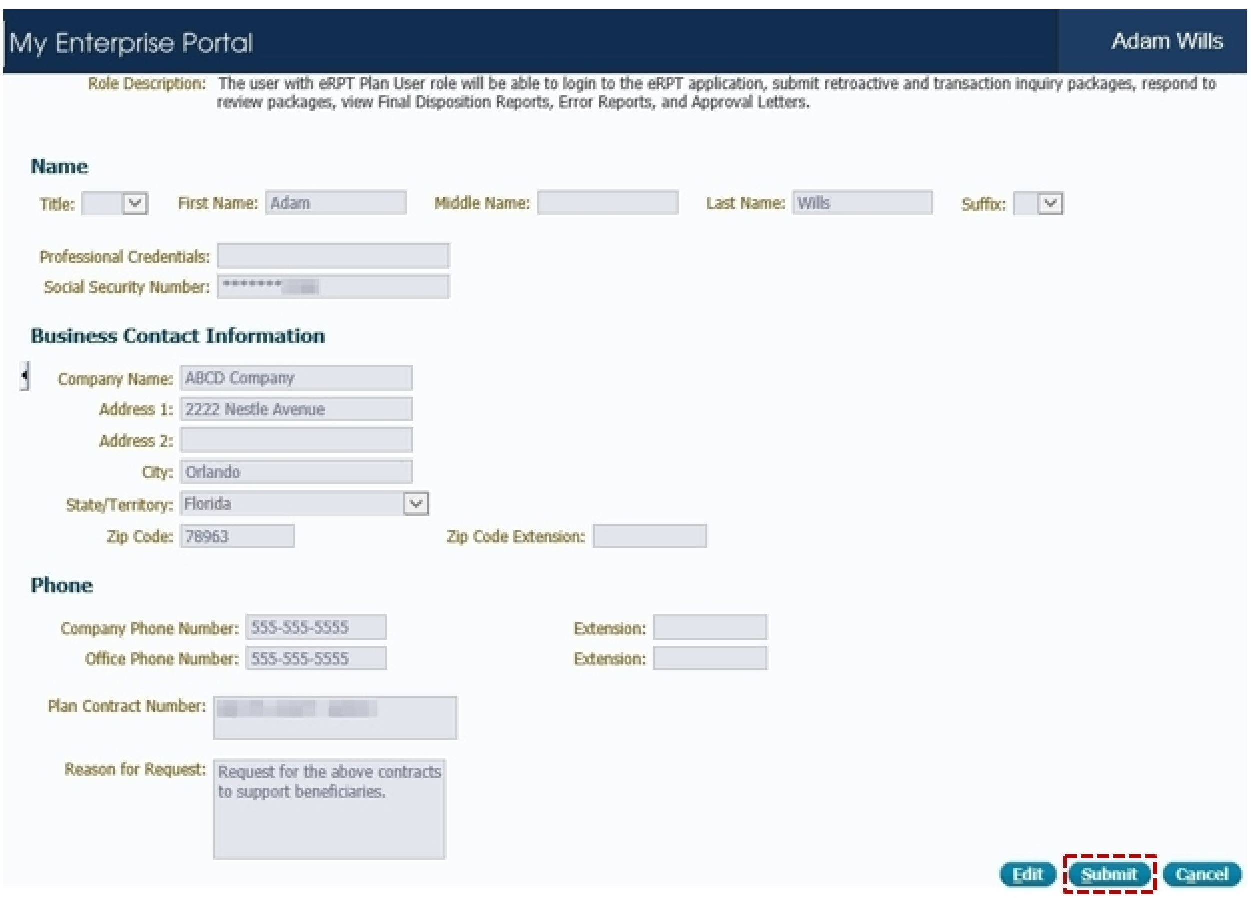
15. Enter the “Plan Contract Number” and provide the “Reason for Request” in the respective fields as shown in the following figure. Then, click “Next”.

Figure 31: Requesting Access to the eRPT Application – Step 15



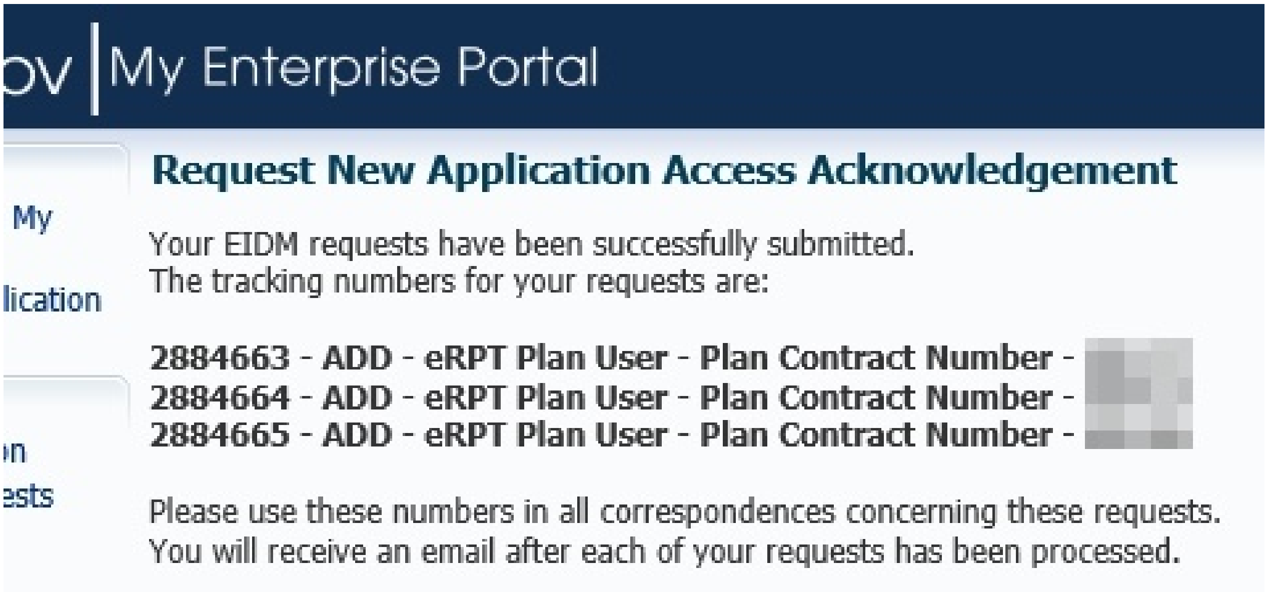
16. Review the information and scroll to the bottom of the screen and click “Submit”.

Figure 32: Requesting Access to the eRPT Application – Step 16



17. You will see an acknowledgement message of your submitted request, as you see below. An email will be sent to your registered email address with the details of this submission.

Figure 33: Requesting Access to the eRPT Application – Step 17



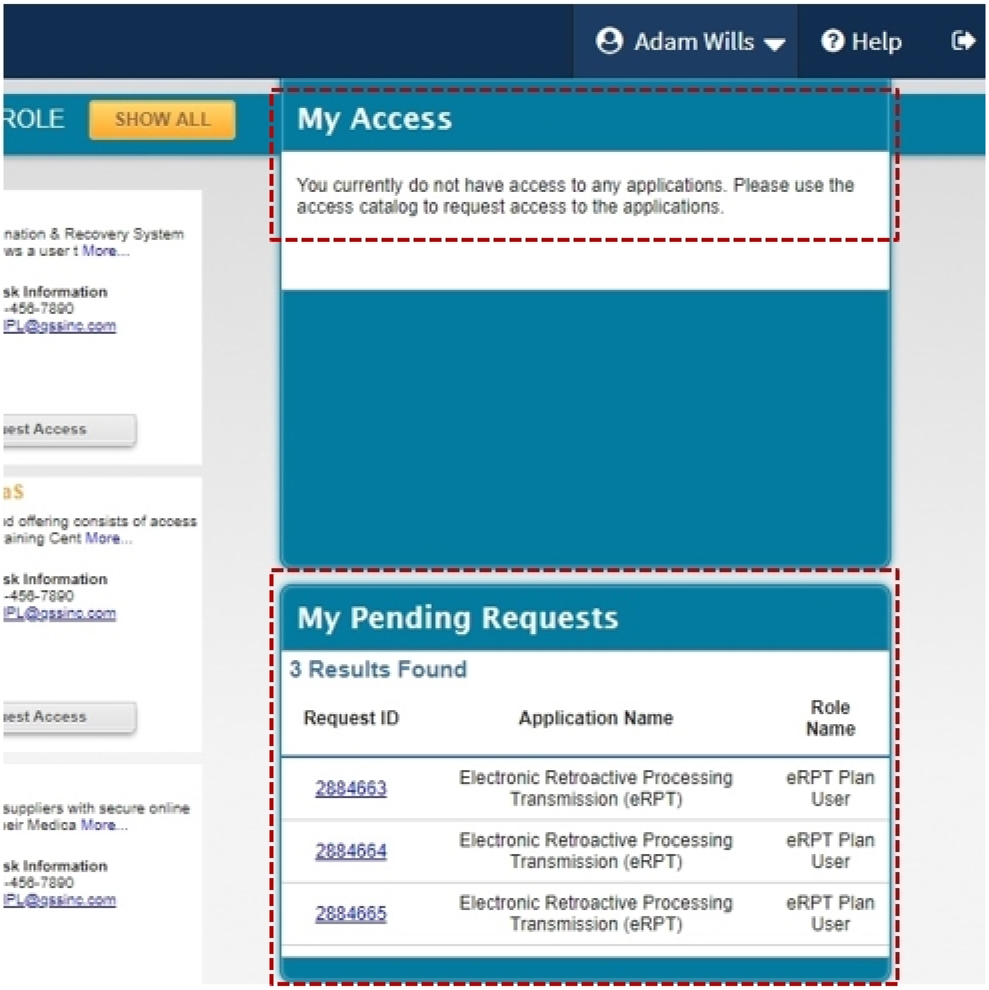
3.3.2.1 Viewing Your Access

1. If you want to view the status of your pending request(s) to application(s) you requested access for and/or the application(s) you have access to, click the down arrow next to your name on the top right of the CMS Enterprise Portal page (after you log in to the Portal) and then click “My Access” link.

Figure 34: Viewing Your Access – Step 1

2. The “My Access” page within the CMS Enterprise Portal will list the application(s) you have access to and your role and/or any pending request(s).

Figure 35: Viewing Your Access – Step 2



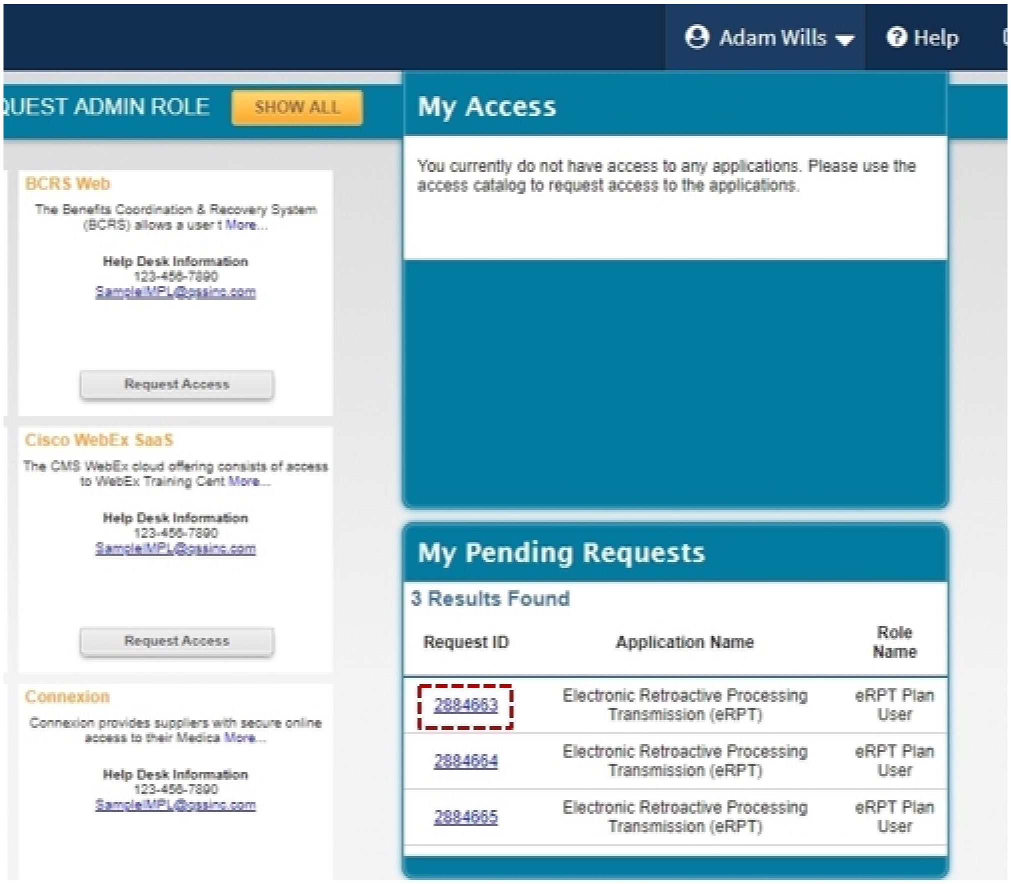
Note: After your role request is approved by the respective approving authority, you can login to the CMS Enterprise Portal and access eRPT application. Refer to Section 3.3.3 for steps to access eRPT from within the Portal. **You will receive an email notification when your request for access is approved or rejected.**

3.3.2.2 Modifying your Access

3.3.2.2.1 Scenario 1 Steps - Canceling Your Pending Role Request(s) to eRPT Application

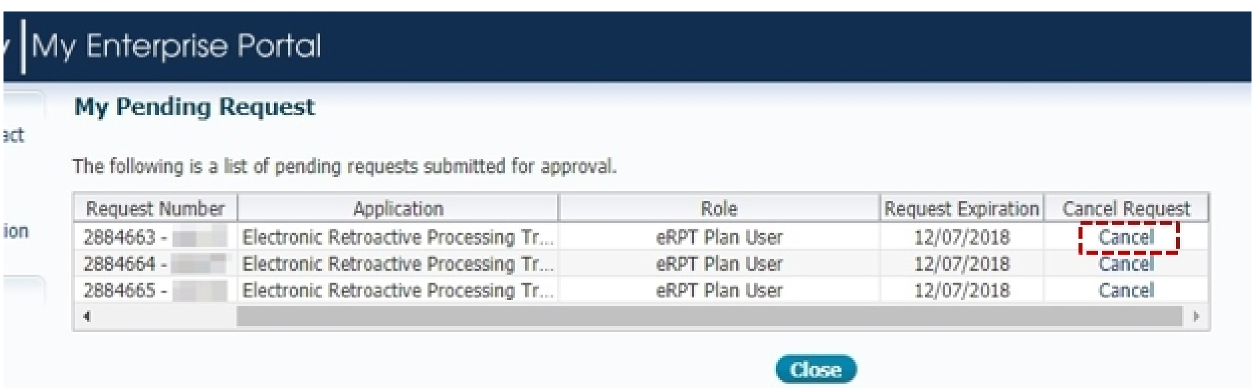
1. From the “My Access” page, click the “Request ID” (pending request) that you wish to cancel.

Figure 36: Canceling Your Pending Role Request(s) to eRPT Application – Step 1



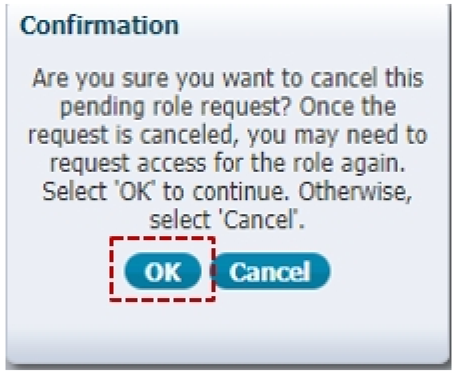
2. Click “Cancel” corresponding to the “Request Number” that you wish to cancel.

Figure 37: Canceling Your Pending Role Request(s) to eRPT Application – Step 2



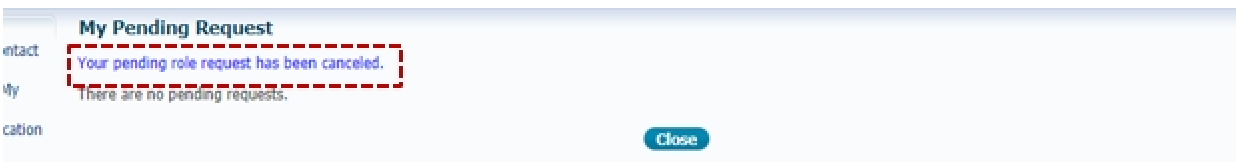
3. Click “OK” to confirm your action of cancellation of this pending request and complete the transaction.

Figure 38: Canceling Your Pending Role Request(s) to eRPT Application – Step 3



4. The screenshot below depicts the acknowledgement of your action from Step 3. You will receive an email confirmation to your registered email address regarding this action.

Figure 39: Canceling Your Pending Role Request(s) to eRPT Application – Step 4

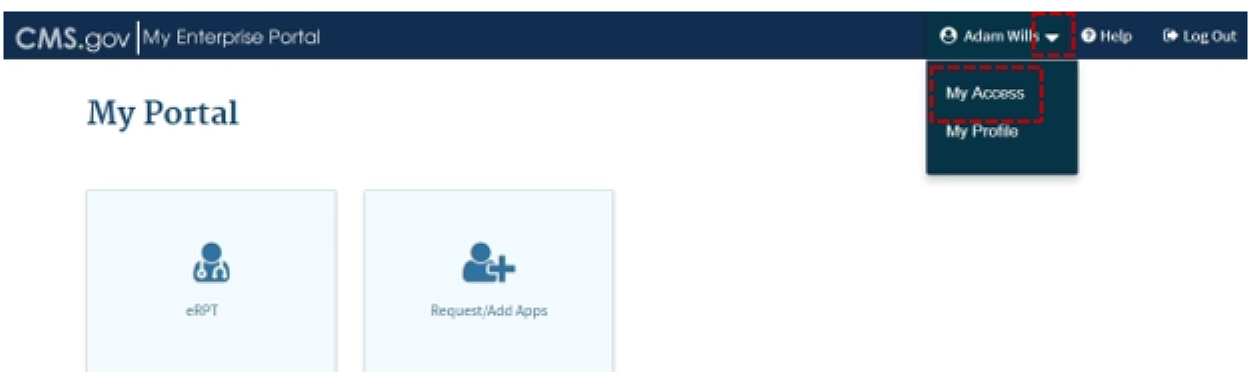


5. Repeat the steps above for each of the pending requests that you may wish to cancel.

3.3.2.2.2 Scenario 2 Steps - Modifying Your Previously Approved eRPT Plan User Role

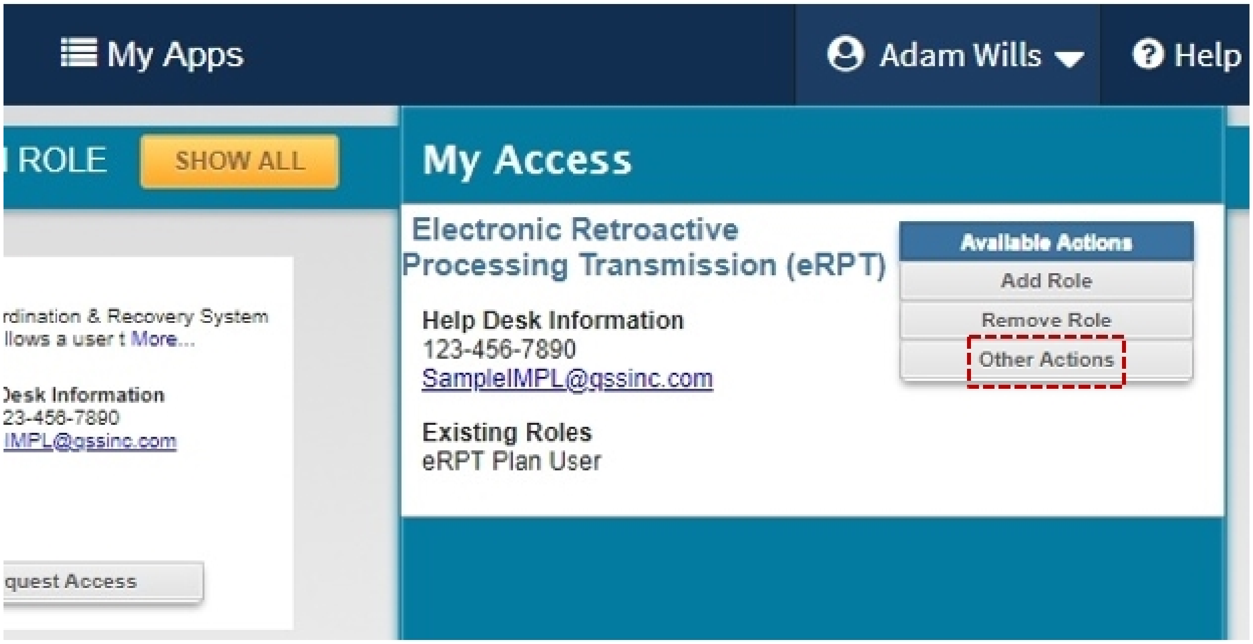
1. Click the down arrow next to your name on the top right of the CMS Enterprise Portal page (after you log in to the Portal) and then click “My Access” link.

Figure 40: Modifying Your Previously Approved eRPT Plan User Role – Step 1



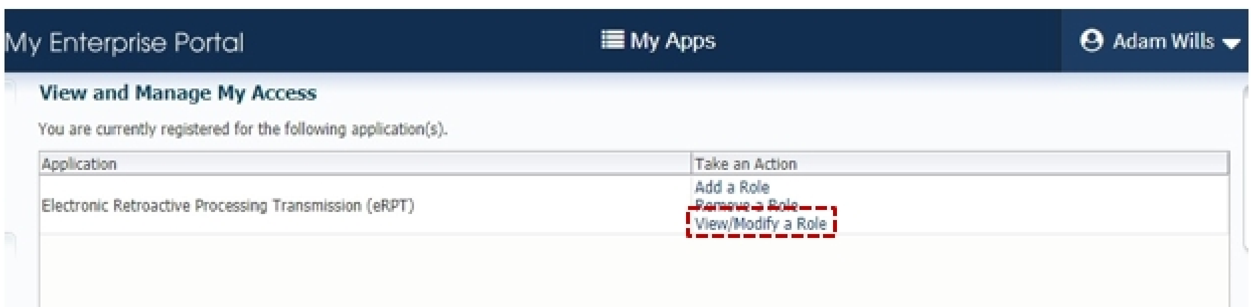
2. Click “Other Actions” under “Available Actions”.

Figure 41: Modifying Your Previously Approved eRPT Plan User Role – Step 2



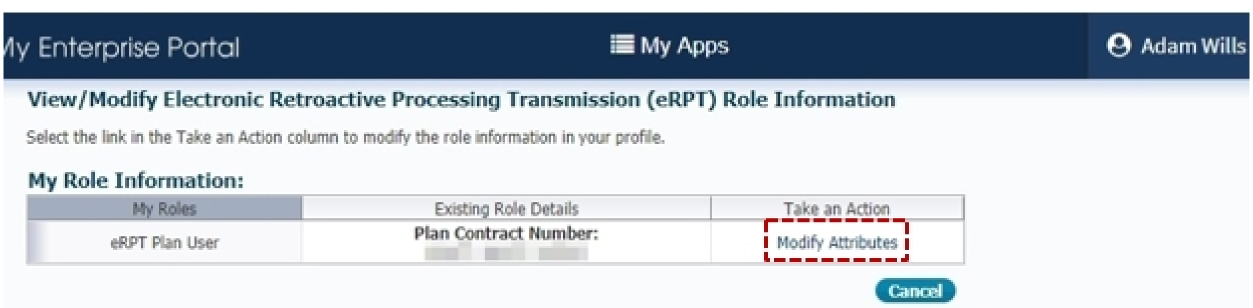
3. Click "View/Modify a Role" under "Take an Action".

Figure 42: Modifying Your Previously Approved eRPT Plan User Role – Step 3



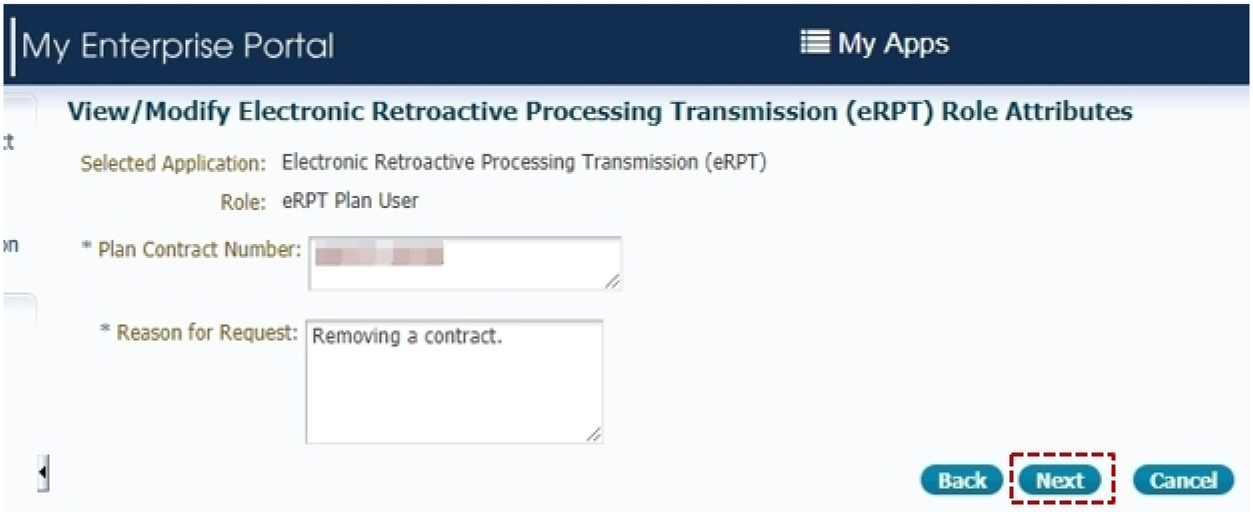
4. Click "Modify Attributes" under "Take an Action".

Figure 43: Modifying Your Previously Approved eRPT Plan User Role – Step 4



5. Update "Plan Contract Number" field with new contract(s) if you want to add a new contract to the existing list of contracts or remove any existing ones. Provide appropriate justification in the "Reason for Request" field and click "Next" to proceed with submitting your request.

Figure 44: Modifying Your Previously Approved eRPT Plan User Role – Step 5

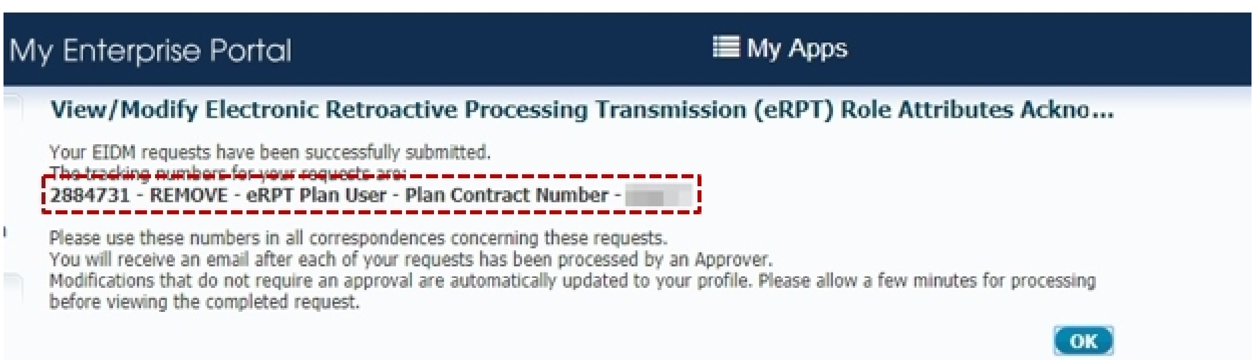


6. Click “Submit”.

Figure 45: Modifying Your Previously Approved eRPT Plan User Role – Step 6

7. You will receive an acknowledgement/confirmation based on your action in Step 6.

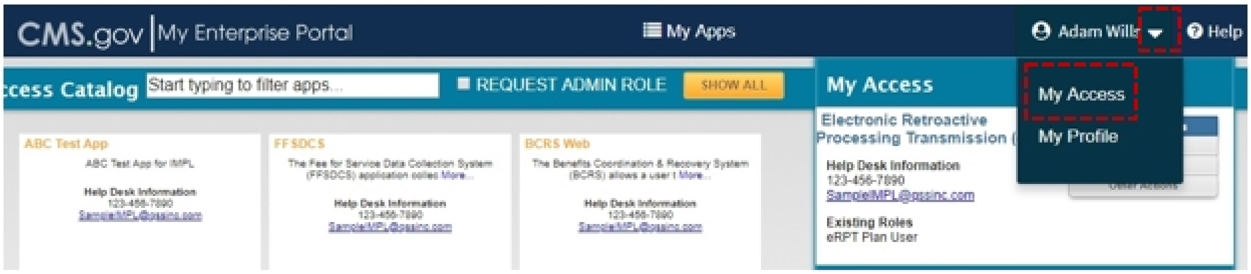
Figure 46: Modifying Your Previously Approved eRPT Plan User Role – Step 7



3.3.2.2.3 Scenario 3 Steps - Removing Your Previously Approved eRPT Plan User Role (Removing Your Access to the eRPT Application)

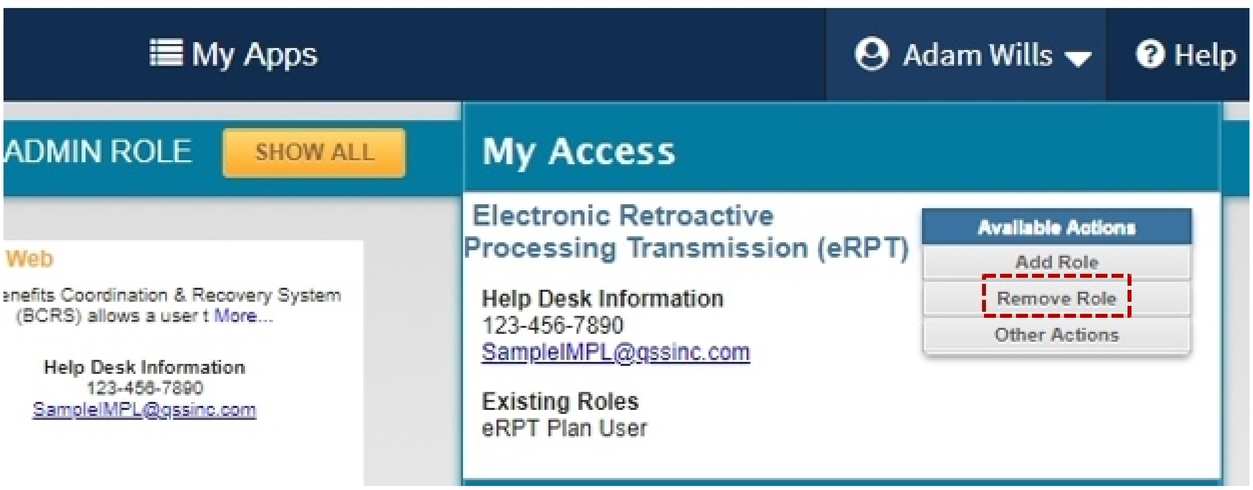
1. Click the down arrow next to your name on the top right of the CMS Enterprise Portal page (after you log in to the Portal) and then click “My Access” link.

Figure 47: Removing Your Previously Approved eRPT Plan User Role – Step 1



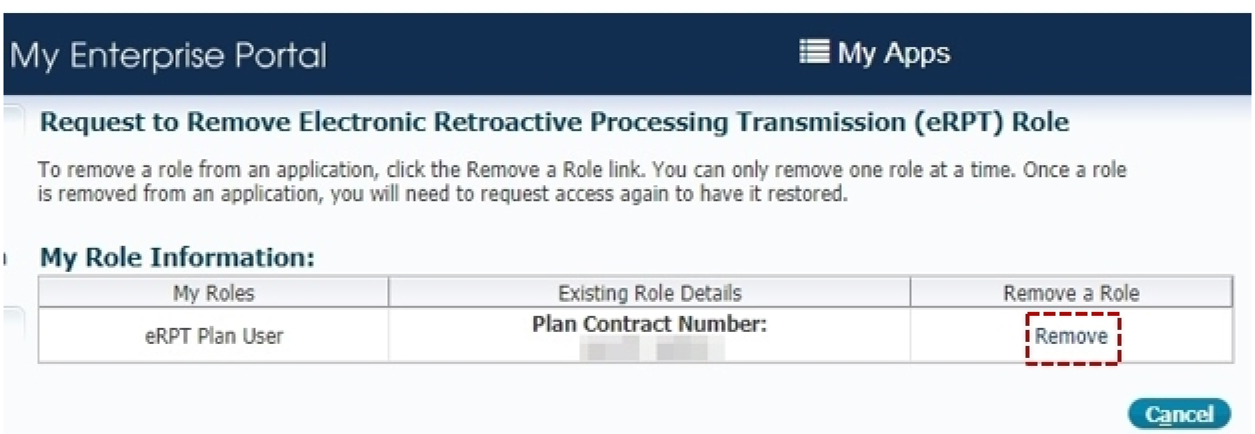
2. Click “Remove Role” under “Available Actions”.

Figure 48: Removing Your Previously Approved eRPT Plan User Role – Step 2



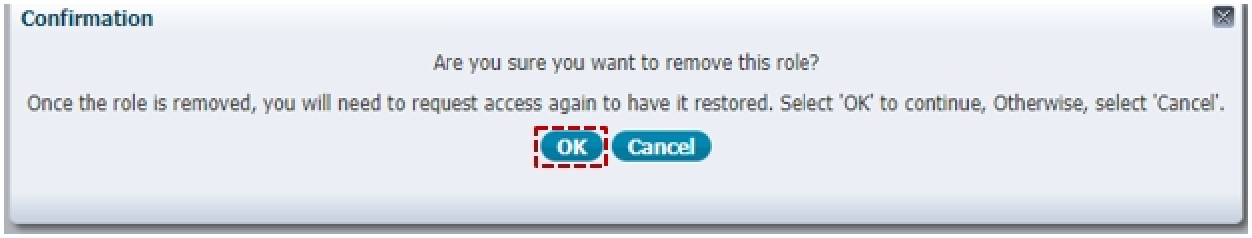
3. Click “Remove” under “Remove a Role”.

Figure 49: Removing Your Previously Approved eRPT Plan User Role – Step 3



4. Click "OK".

Figure 50: Removing Your Previously Approved eRPT Plan User Role – Step 4



5. You will see an acknowledgement/confirmation based on your action in Step 4. You will receive an email confirmation to your registered email address regarding your role removal action.

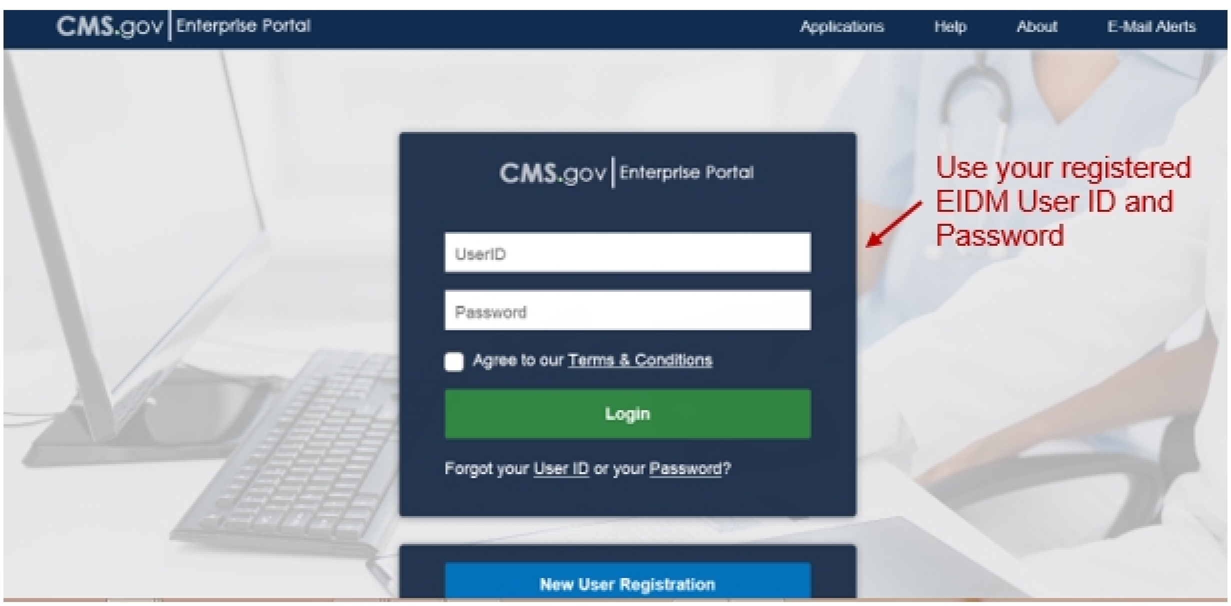
3.3.3 Accessing eRPT Application from Within CMS Enterprise Portal

Once your "eRPT Plan User" role request has been approved by the appropriate approving authority, you will have access to the eRPT application specific to those contracts.

To access the eRPT application, follow the steps below:

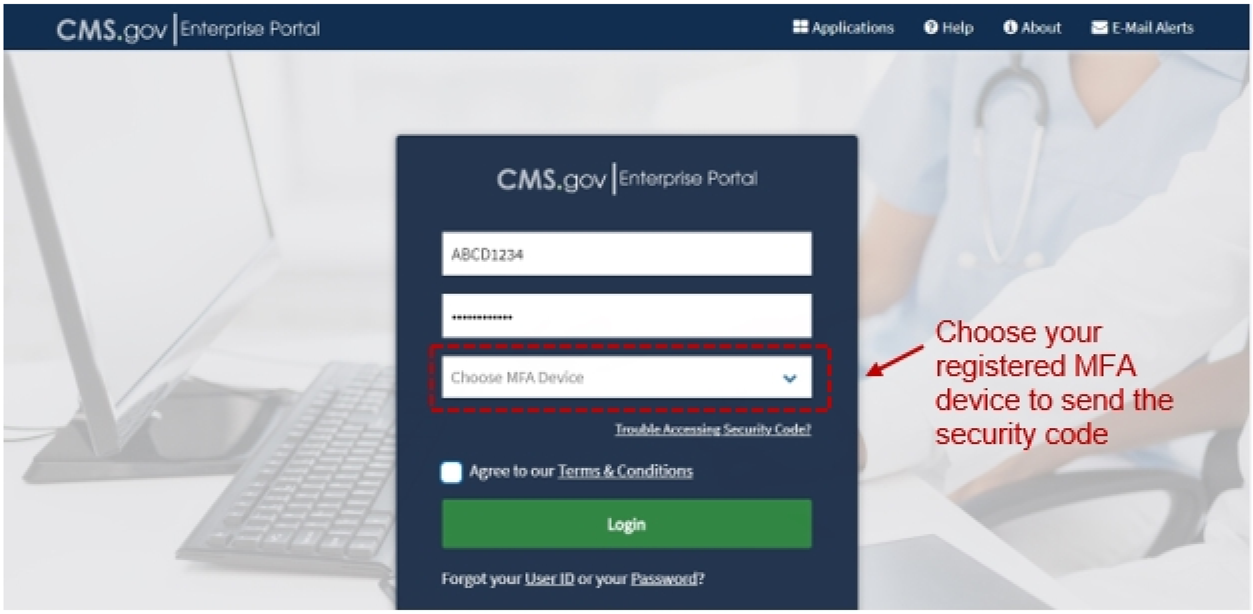
1. Enter the CMS Enterprise Portal Internet Uniform Resource Locator (URL) https://portal.cms.gov/ in the web browser (also bookmark or save this URL for future use). On this webpage, provide your registered EIDM ID (User ID) and Password.

Figure 51: Accessing eRPT Application from Within CMS Enterprise Portal – Step 1



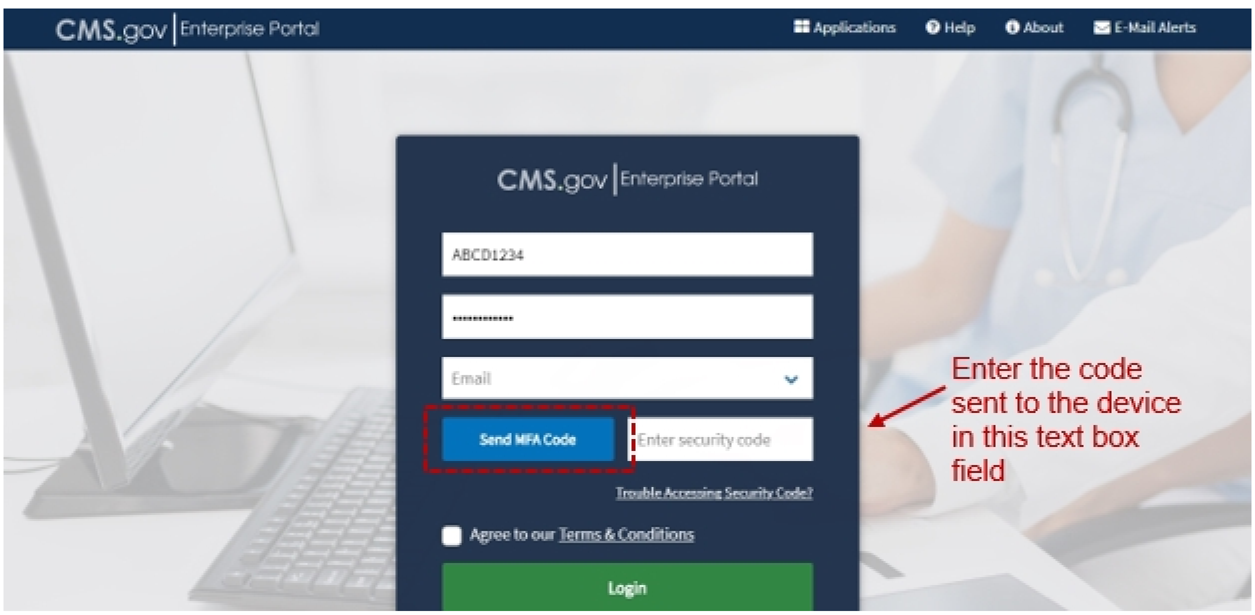
2. From "Choose MFA Device" drop-down, select the MFA device that you have registered with your EIDM ID to receive the security code.

Figure 52: Accessing eRPT Application from Within CMS Enterprise Portal – Step 2



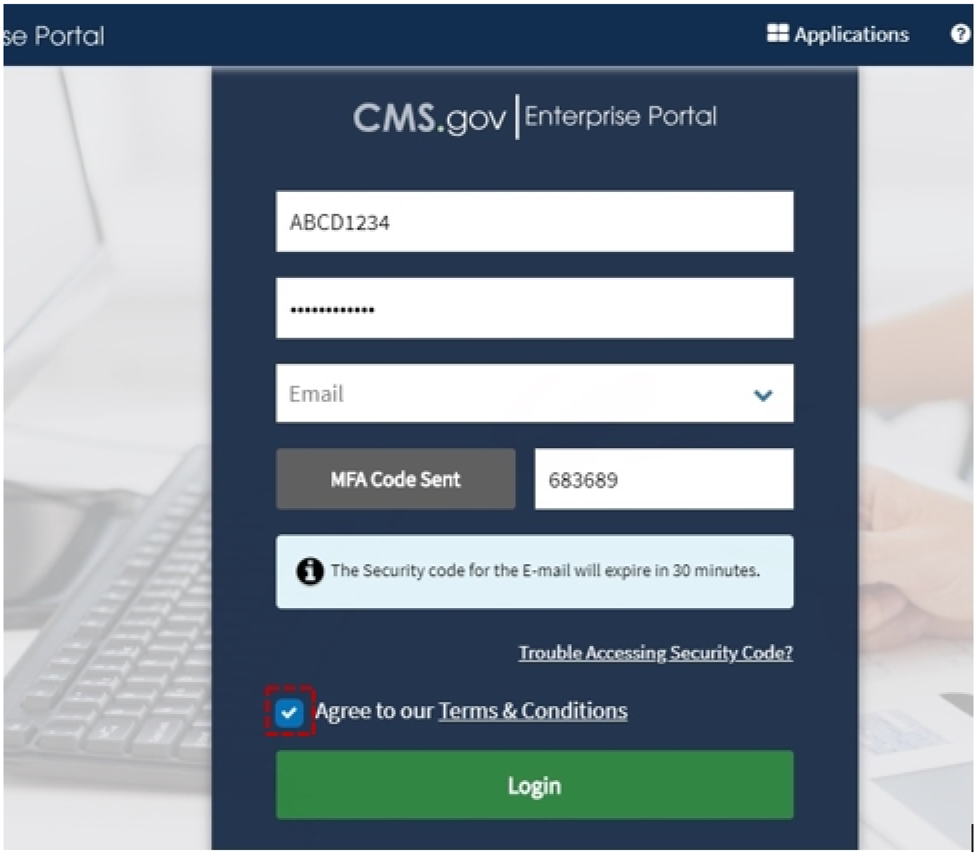
3. Click “Send MFA Code” to send the MFA code to the device and then enter the code in the security code field.

Figure 53: Accessing eRPT Application from Within CMS Enterprise Portal – Step 3



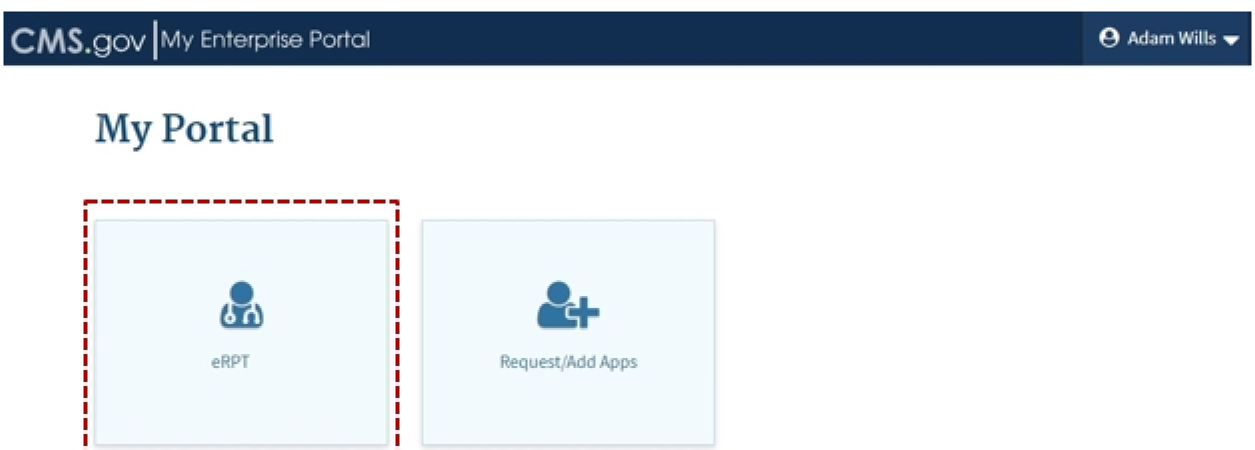
4. Select the “Agree to our Terms & Conditions” check box and then click “Login”.

Figure 54: Accessing eRPT Application from Within CMS Enterprise Portal – Step 4



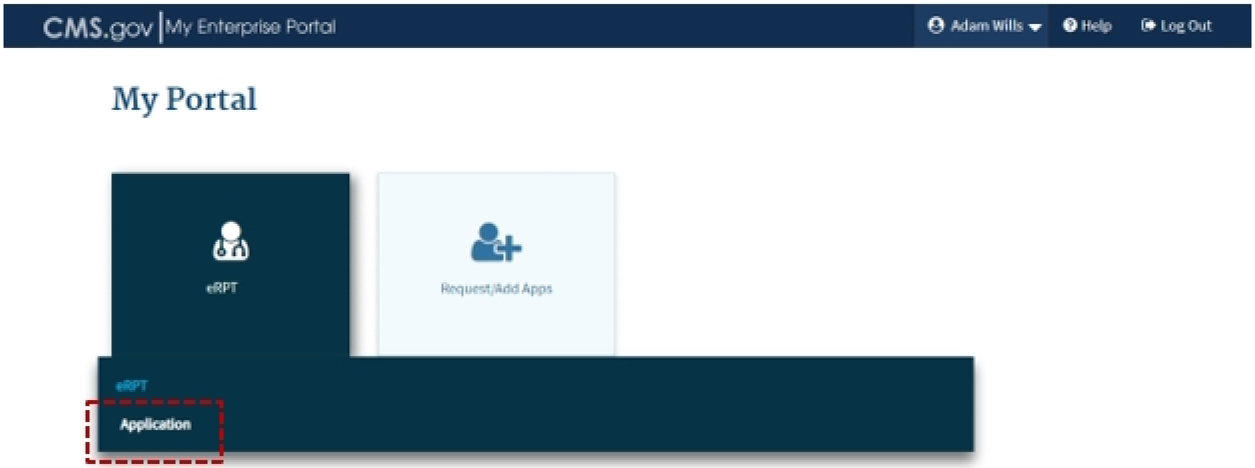
5. Click “eRPT”.

Figure 55: Accessing eRPT Application from Within CMS Enterprise Portal – Step 5



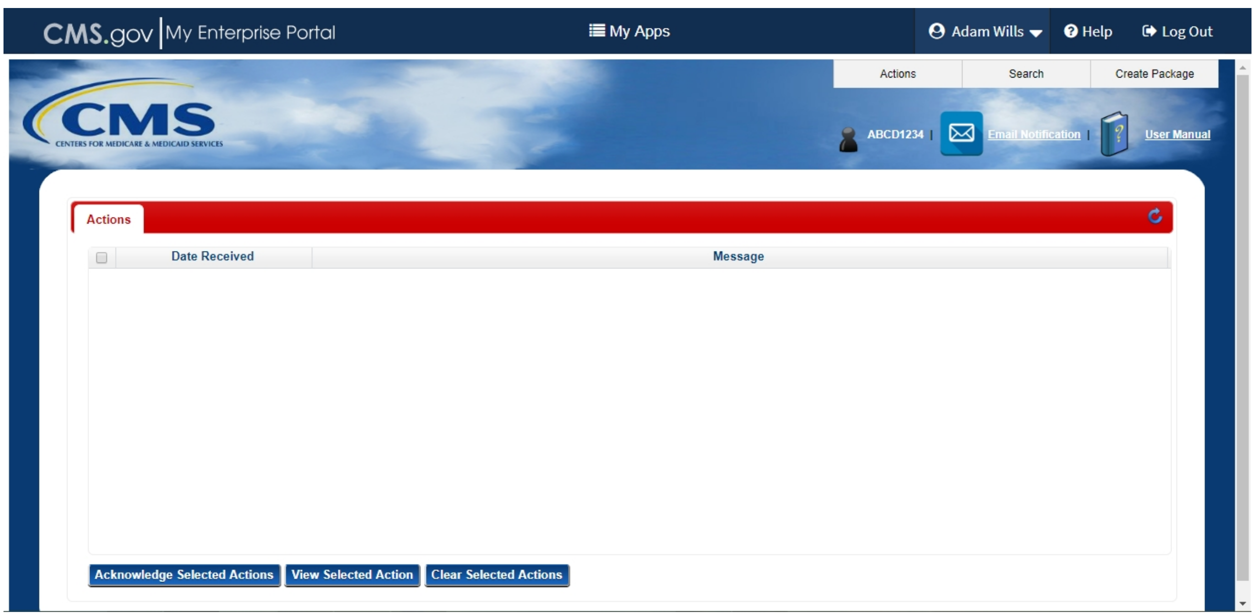
6. Click “Application”.

Figure 56: Accessing eRPT Application from Within CMS Enterprise Portal – Step 6



7. After Step 6, you will see the eRPT homepage (the default view is the "Actions" tab).

Figure 57: Accessing eRPT Application from Within CMS Enterprise Portal – Step 7



3.3.4 User Replacement

An eRPT Plan User who wishes to take over the role of another eRPT Plan User must conform to the following rules:

1. Should have a valid EIDM User ID to log in to CMS Enterprise Portal and should have the "eRPT Plan User" role associated to his/her EIDM User ID.
2. Should at the least have access to the same contract numbers as the user who leaves the organization.
   Note: Follow the steps documented in Sections 3.3.1 and 3.3.2 and to register in CMS Enterprise Portal for an EIDM user account and request access to eRPT application, if you haven't done so.

3. The existing Plan User (who will be replaced) should remove his/her “eRPT Plan User” role from his/her EIDM ID, follow the steps documented in Section 3.3.2.2.3.

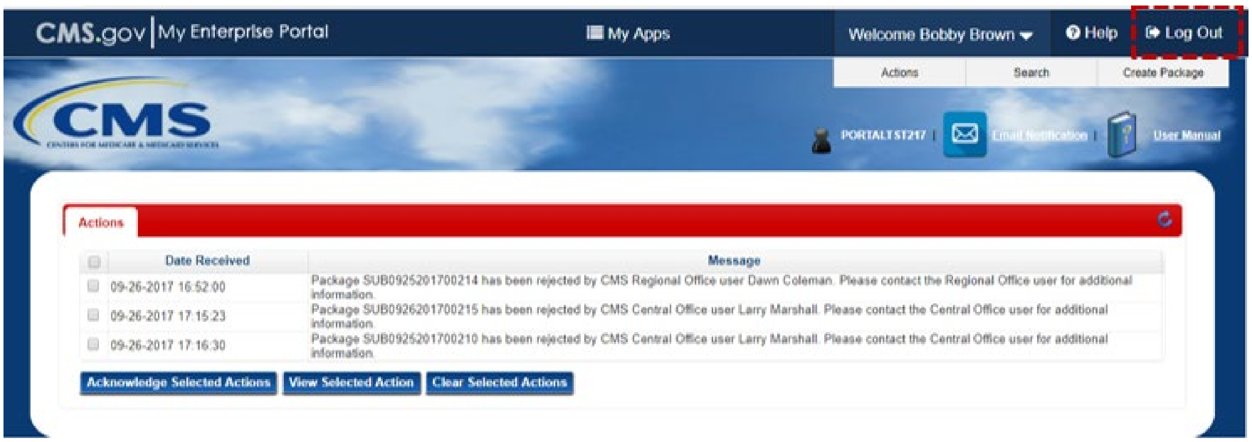
3.4 System Organization & Navigation

To navigate through the website, use the menu options on the top right of the screen. These menus allow the Plan 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 eRPT Application

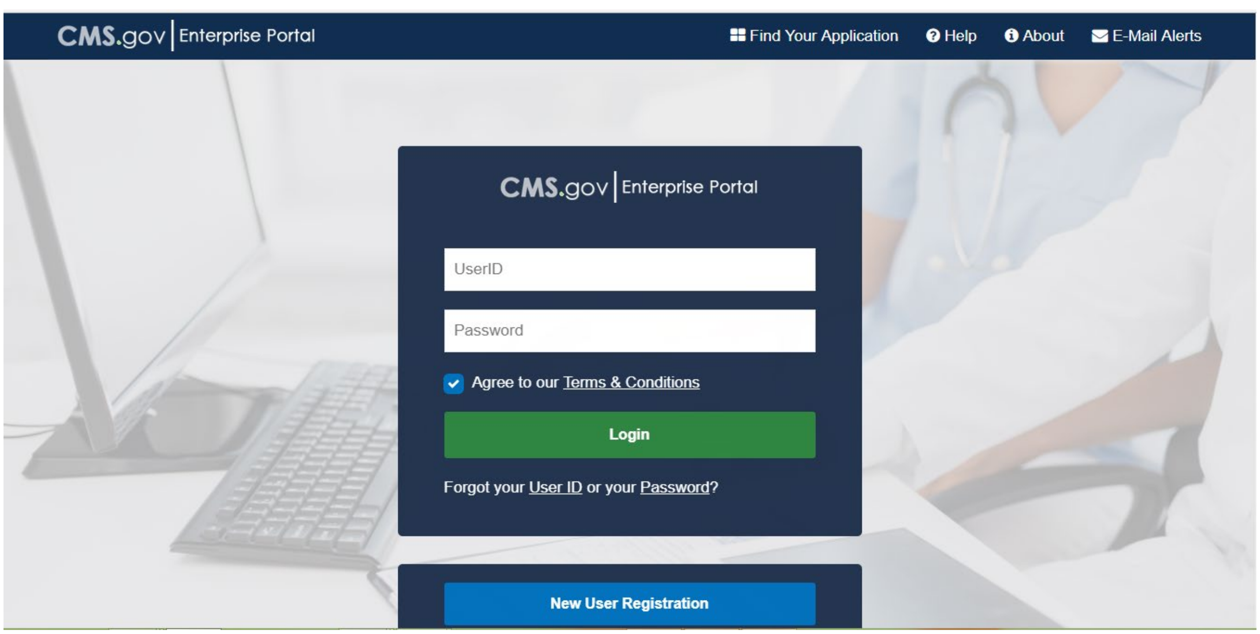
1. Click “Log Out” from the top right of the page to logout from the eRPT application.

Figure 58: Exiting the eRPT – Step 1



2. Upon successful log out, you will see the CMS Enterprise Portal login page.

Figure 59: Exiting the eRPT – Step 2



4. Using the System

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

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, Medicaid, 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** – 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 Complaint Tracking Module (CTM) Cases) that may be submitted to the RPC without additional RO approval. Please refer to RPC's Standard Operating Procedure (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, LIS, 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 CO Staff or eRPT Plan Users to RPC. A special submission package will need

to be approved by either the CMS CO or RO.

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 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:
   - **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 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:

- 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:

- 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 the eRPT Plan User but is awaiting an Approval Letter from CMS RO Account Manager or CMS CO. 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 eRPT 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 of the user 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: FDR, 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:

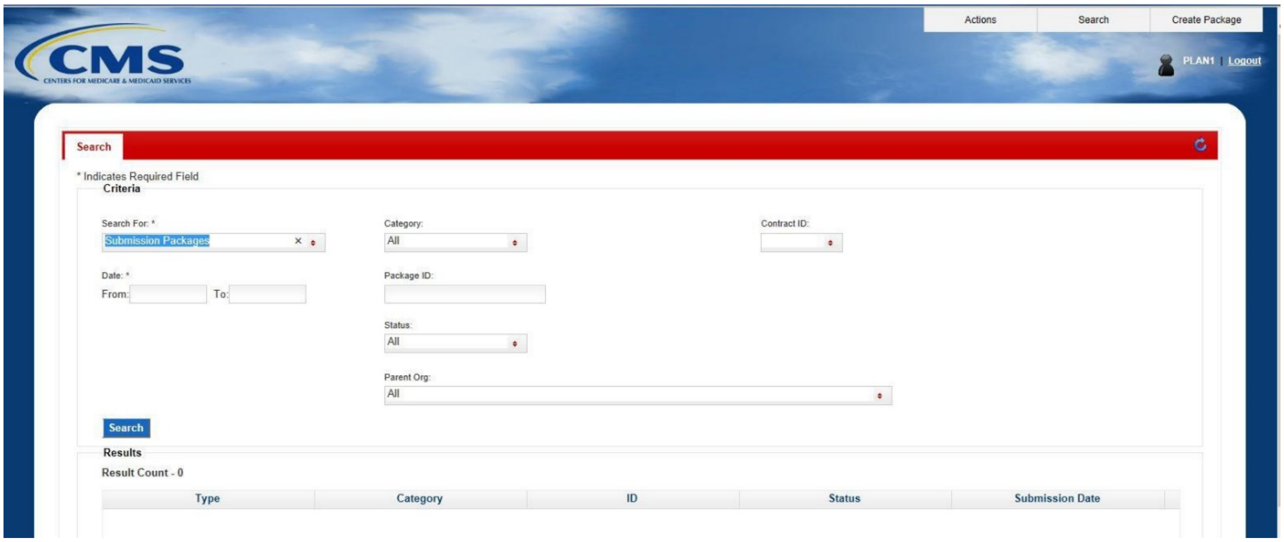
1. Search For:
    a. Packages:
        - Submission Packages
        - Transaction Inquiry Packages
        - Review Packages (e.g. EDV Review)
    b. Response Documents:
        - FDR
        - Error Reports
        - Letters
            - Approval Letter
        - Follow-on FDR
2. **Date** – This 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** – A drop-down containing Package status values. The status values are dynamically populated based on Search-For and Category selection made by the user as shown below (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
        - 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 Helpdesk.

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 60: 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 PDPs for RPC to process. A Package within the eRPT application will consist of three 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 (refer to the RPC website for details).
  - For Review Package - All the supporting documents that are submitted by RPC for the review (refer to 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 eRPT Plan Users for the 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 an eRPT Plan User or CMS CO 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 eRPT 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 User, upon package submission by the eRPT Plan User. Following are the steps:

- The Submission -Category 3 or Special Package is created and submitted by the Package Creator (usually the Plan User).
- If the package is a LI-NET submission, the Package Creator is required to select the Subcategory value as “LI-NET”.
- For a LI-NET package, 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 “Approval Authority” as “Regional Office” and the Regional Office Code/Number (RO01 – RO10). Please refer to the bulleted item list #4 in Section 4.1 eRPT Terminology to understand the different CMS Regional Offices.
  - **Note:** All Category 3 and Special Packages (Except LI-NET package, these are packages for contracts that typically starts with ‘Xxxxx’, xxxx are numeric digits) require approval from the respective RO Account Manager. LI-NET packages are the only package that falls under the discretion of CMS Central Office User for their review and approval.
- The package is searched by CMS RO Account Manager (or CMS CO User, if a LI-NET Package) or accessed via actions to add the “Approval Letter” or reject the package.
- If CMS RO Account Manager (or CMS CO User) adds the “Approval Letter”, the next set of workflow steps are outlined below:
  - The package is downloaded by the RPC.
  - The Package Creator will receive a system notification within the eRPT system about the package being downloaded by the RPC.
  - The RPC will begin adding FDRs and Error Reports to the package. The respective eRPT Plan User and the designated Proxy User will receive a system 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 CMS RO Account Manager or CMS CO User rejects the Package the workflow steps will take the following approach:

  - The Package Approver is required to add the rejection notes to reject the package.
  - The Package Creator and the designated Proxy User receives a system notification within their eRPT account and email notification that the package is rejected.
  - The Package Creator may need to create a new package.

4.2.2.3 Review Package Workflow

A Review Package is a Package created by either a CMS CO User or the RPC requesting eRPT 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 CO 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 eRPT Plan User views the notification.
- The eRPT Plan User responds to the Package by providing all the required Response documents within seven business days of the request.
- The eRPT 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 eRPT 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. The eRPT 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 the eRPT 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

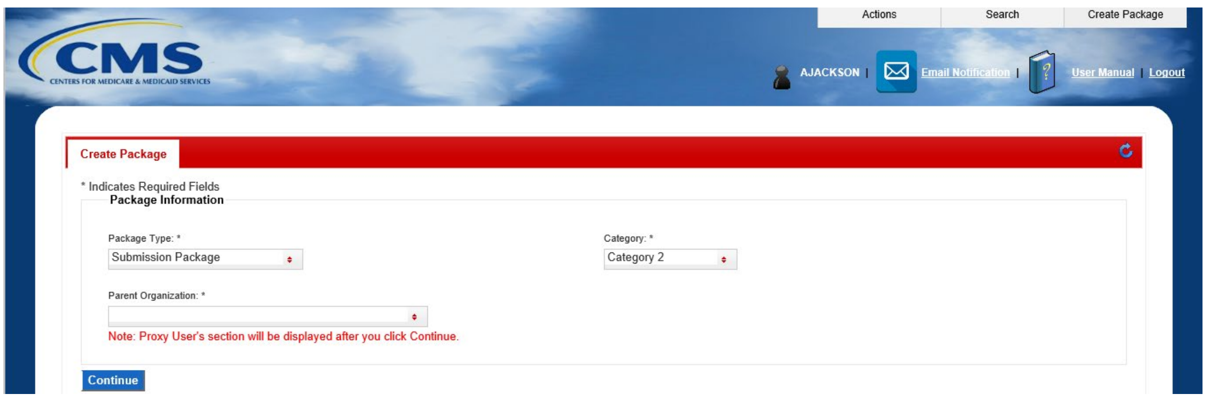
4.3.1 Create Package – Submission Package

4.3.1.1 Create Package – Category 2 Submission Package

The following steps will guide you through creating a Category 2 Submission Package. The steps are the same for other Submission Packages (CTM, Payment Validation, Resubmission and Category 3/Special LI-NET).

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

Figure 61: Create Package – Category 2 Submission Package: Select Package Information



3. **Action**: Complete the details for the Submission Package:
   a) **Package Type** – Submission Package. This is the default selection.
   b) **Category** – Select the respective category code from the drop-down. For this example, let us create a Submission Package for "Category 2". By default, the "Category' drop-down field displays "Category 2".
   c) **Parent Organization** – Multiple organization selection list (drop-down field). Select a "Parent Organization" from the list. For example, let us choose "Aetna Inc." If the user's Parent Organization does not display, please contact the MAPD Helpdesk at mapdhelp@cms.hhs.gov or 1-800-927-8069 to create a ticket.

   Note: If the submission package is for multiple Medicare-Medicaid Plan (MMP) parent organizations, choose "MMP Demo States Only". Refer to Figure 63.

Figure 62: Create Package – Category 2 Submission Package: Select a Parent Organization

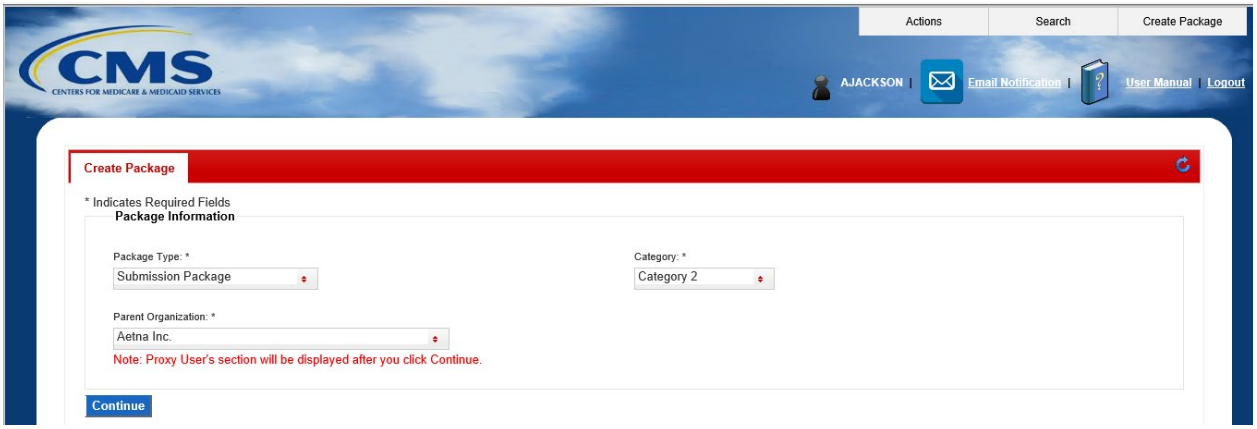
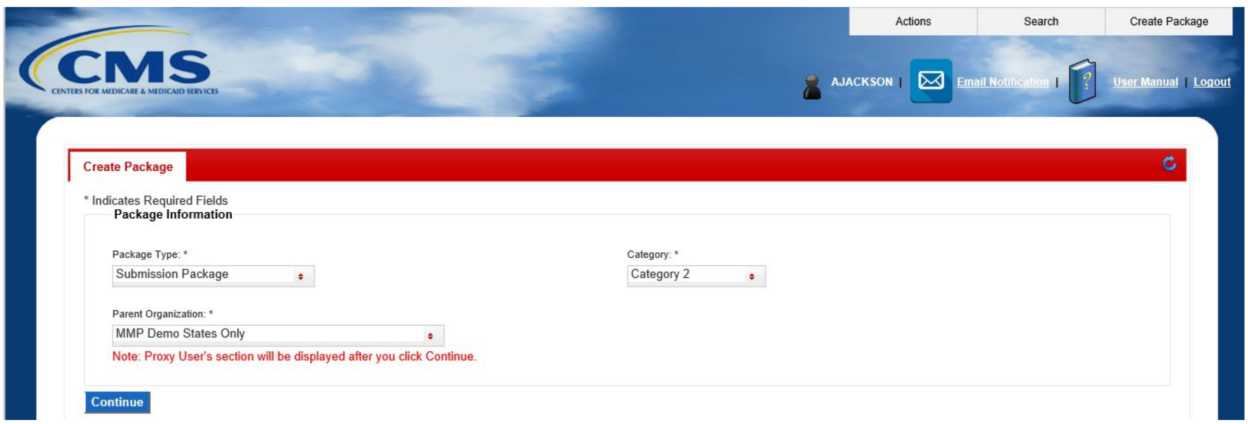
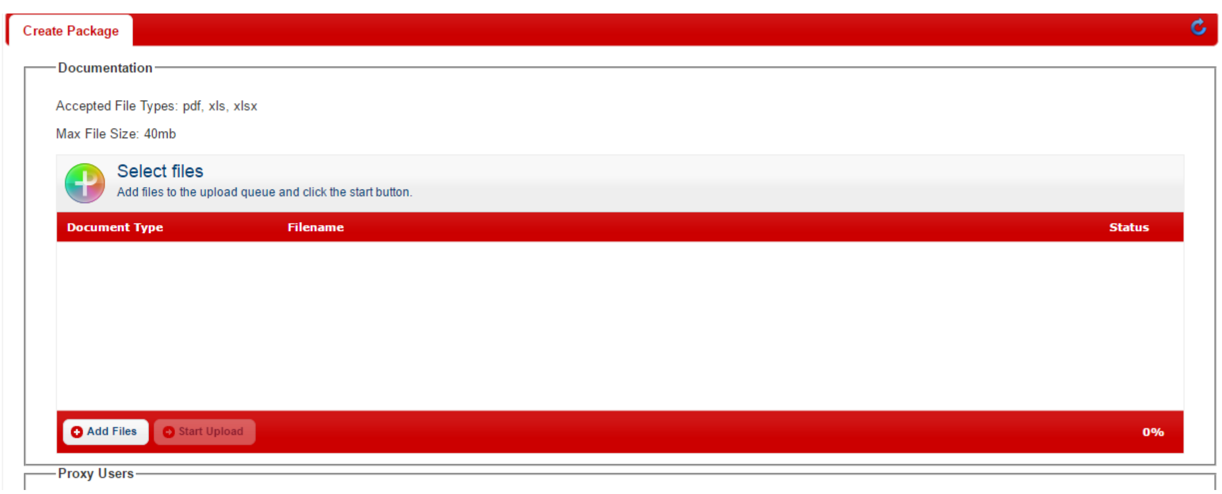


Figure 63: Create Package – Category 2 Submission Package: Select a Parent Organization (For Multiple MMP Organizations)



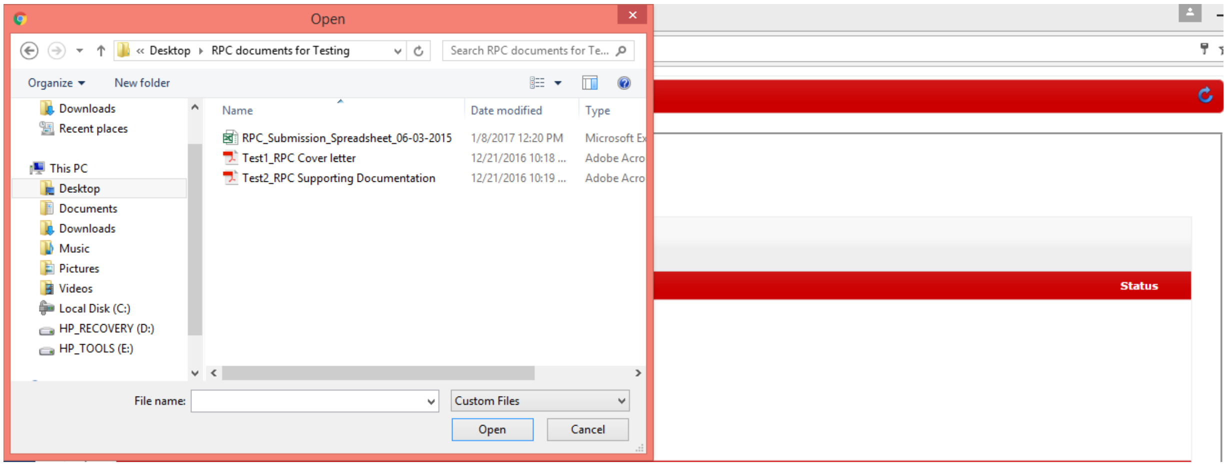
4. **Action:** Click ***Continue***.
5. The ***Documentation*** screen will be displayed. The user can ***Add Files*** to a Package.

Figure 64: Create Package – Category 2 Submission Package: Select Files



6. **Action:** Click ***Add Files***. A Windows Explorer pop-up window opens.

Figure 65: Create Package – Category 2 Submission Package: Add Files to the User Interface



7. **Action**: Select the files you want to add and click ***Open***. The selected document(s) will display in the user interface.

   Note: Refer to the RPC website for the file naming conventions.

Figure 66: Create Package – Category 2 Submission Package: Files Displayed (Example #1)

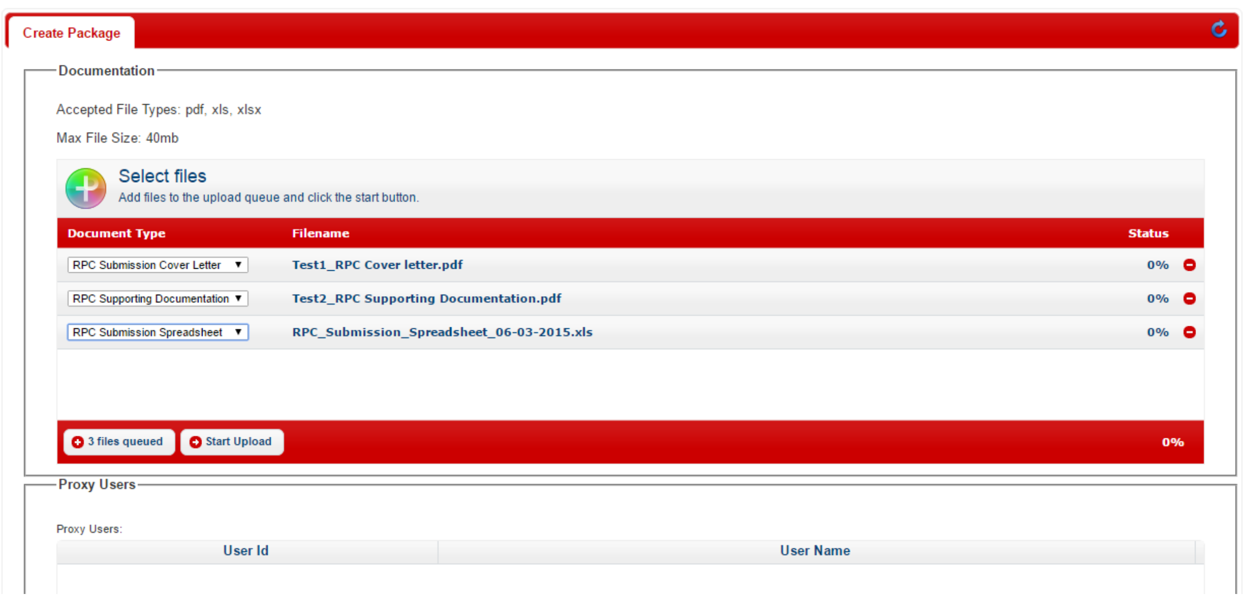
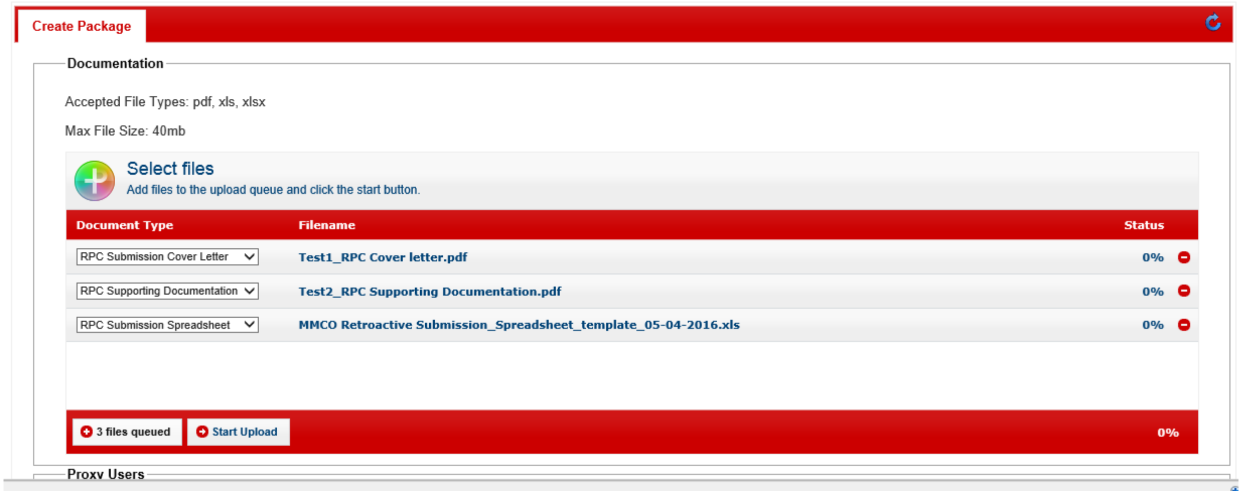


Figure 67: Create Package – Category 2 Submission Package: Files Displayed (Example #2)

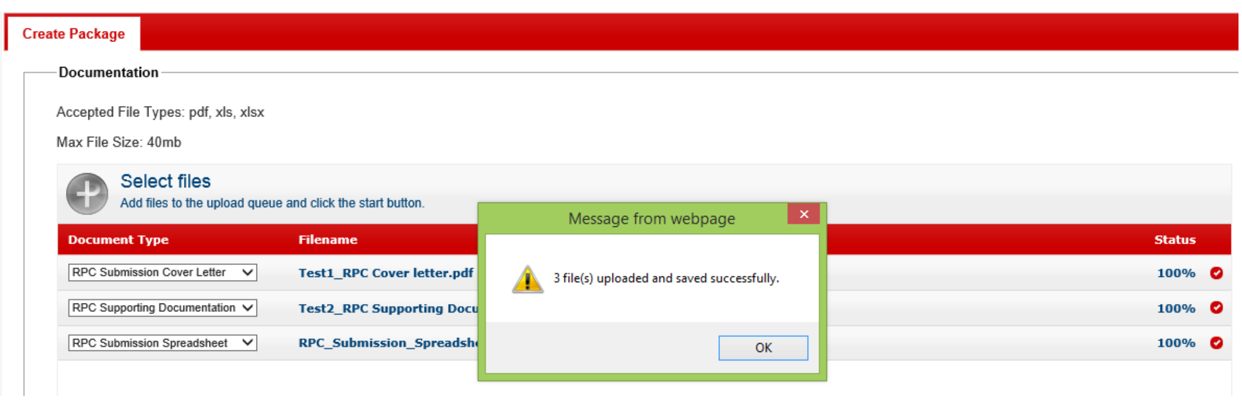


8. **Action**: Select the appropriate ***Document Type*** for each document (Refer to Table 9 to view the appropriate values). The default for all documents will be 'RPC Supporting Documentation' when creating a Submission Package.
   Note: The default Document Type value will vary based on the Package Type and process step.
9. **Action**: Click ***Start Upload***. 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: Acceptable file types for uploading are Portable Document Format (PDF) and Excel format (.XLS and .XLSX). The format "XLSM" is not supported by the eRPT. Please refer to Section 4.5 for steps to convert an XLSM format document.

   Upon successful upload, the file upload message is displayed.

Figure 68: Create Package – Category 2 Submission Package: File(s) Upload Success



10. **Action:** Click ***OK***.
    Note – The following are the preconditions to be met for the successful upload of "RPC Submission Spreadsheet":

a) The “RPC Submission Spreadsheet” must include information only for contracts that the user has access to. If you have a contract in the spreadsheet that you do not have access to, the spreadsheet wouldn’t be uploaded successfully. The status of the upload will display as “Failed.” Refer to Figure 70.

b) If the “RPC Submission Spreadsheet” does not have any contract information, the system wouldn’t let you to upload the spreadsheet. You will see an error message and the status of the upload will display as “Failed”. Refer to Figure 71.

11. **Action:** Click ***OK*** (as shown below in the message window box).

Figure 69: Create Package – Category 2 Submission Package: No Access to Contract(s)

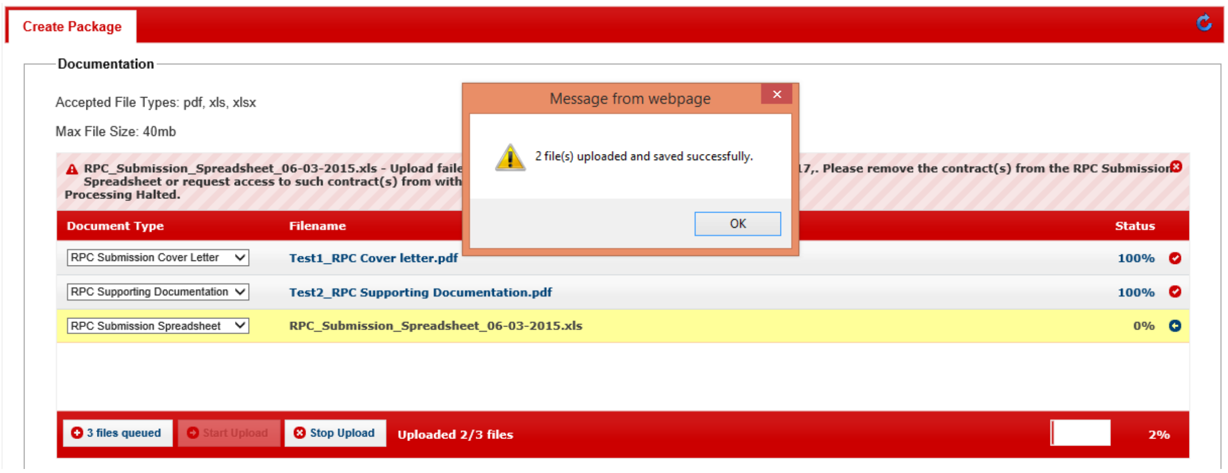


Figure 70: Create Package – Category 2 Submission Package: Error Message

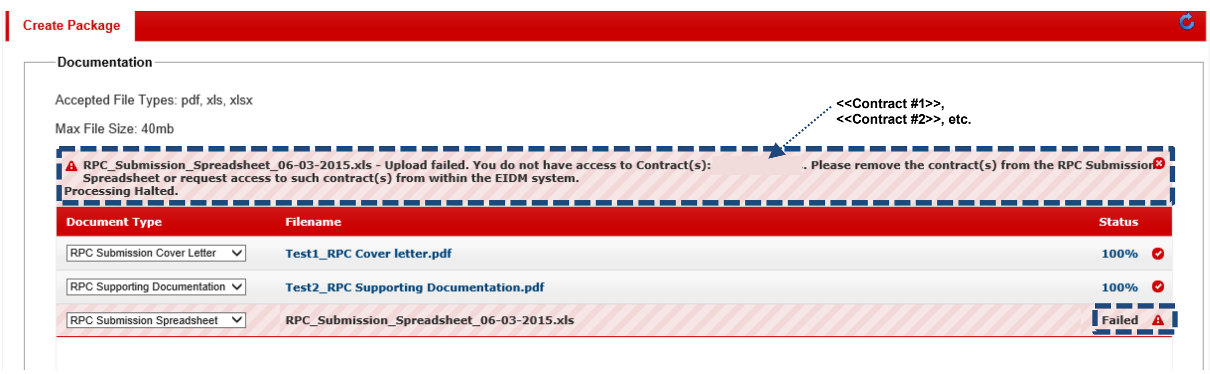


Figure 71: Create Package – Category 2 Submission Package: Contract Information Missing

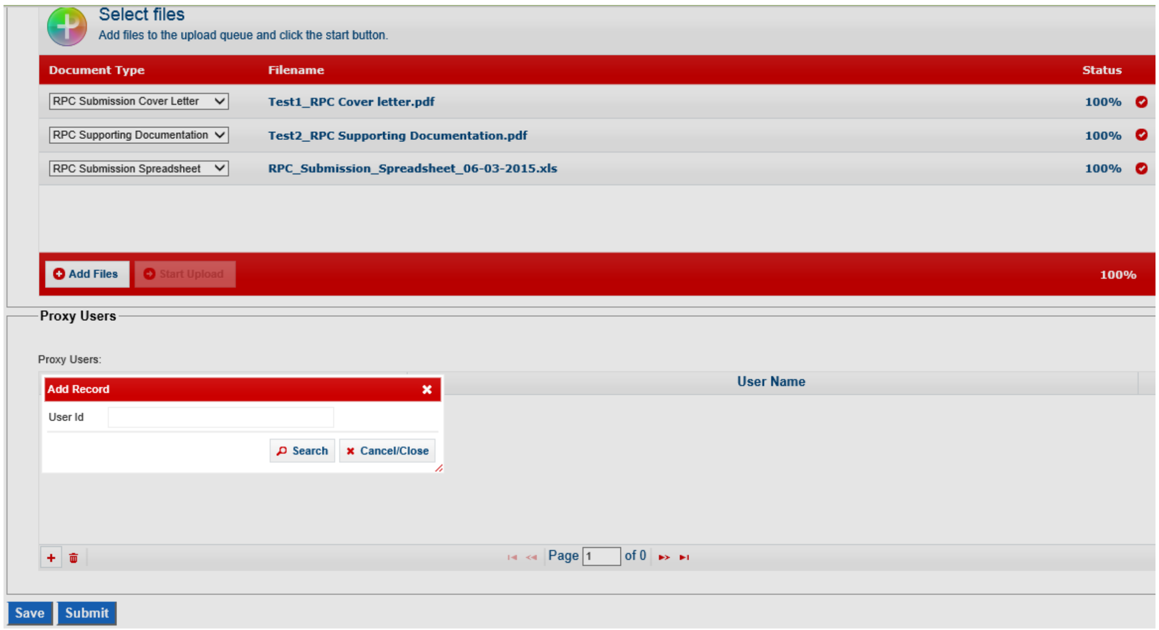
Note: Correct the "RPC Submission Spreadsheet" for the error(s) mentioned above and try re-uploading the spreadsheet again. Unless the spreadsheet is corrected for the error, you cannot submit the package.

4.3.1.1.1 Adding Proxy User(s) to a Submission Package

Note: Adding proxy user(s) is contingent only upon the successful upload of the "RPC Submission Spreadsheet".

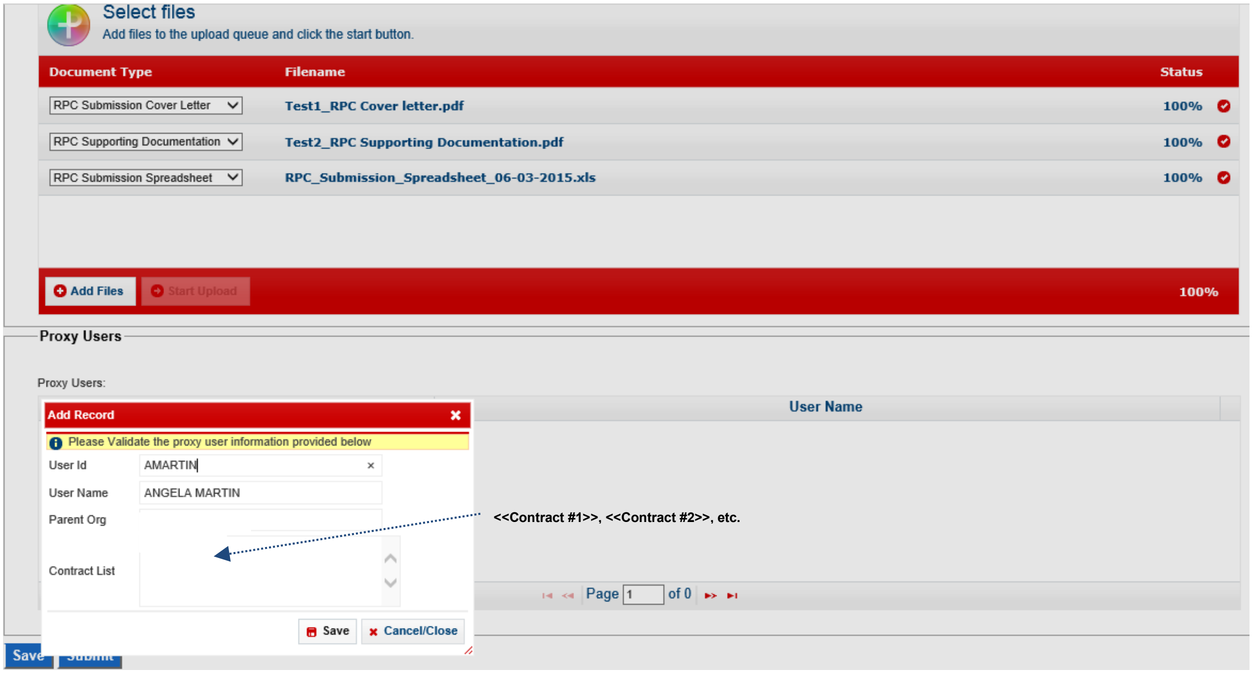
1. **Action**: To add proxy information click the **+** sign in the contract grid.

Figure 72: Create Package – Category 2 Submission Package: Proxy User Information



2. **Action**: The eRPT Plan User will enter the User ID of the designated proxy and click ***Search***. The result will be displayed.

Figure 73: Create Package – Category 2 Submission Package: Add Proxy User

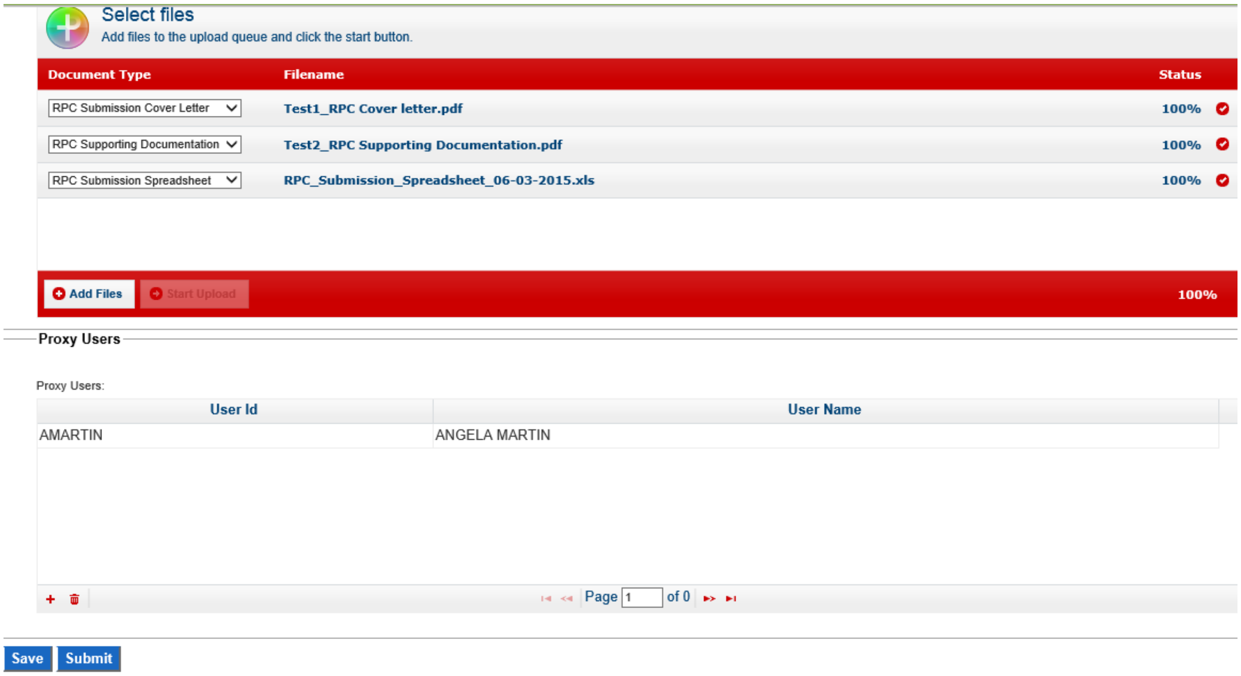


3. **Action**: Click ***Save***. The proxy information will be added in the Proxy Users grid.

Figure 74: Create Package – Category 2 Submission Package: Save Proxy User

4. **Action**: Add additional proxy users (maximum three (3) users per package). If the ***Add Record*** window remains open after adding all proxy users (as appropriate), click ***Cancel/Close*** at the bottom of the window or the icon ***X*** at the top of the window. This is in reference to Figure 74.

Figure 75: Create Package – Category 2 Submission Package: Proxy User Added to Package



Note: The eRPT System wouldn't let you to add a proxy user who does not have access to the contract(s) that the package is created for. Also, you are required to upload the completed RPC Submission Spreadsheet (that holds all the contract list along with other pertinent information) before you could add a proxy user. Please refer to the following screenshots for more information (refer to Figure 76 and Figure 77).

Figure 76: Create Package – Category 2 Submission Package: Proxy User Contract Access

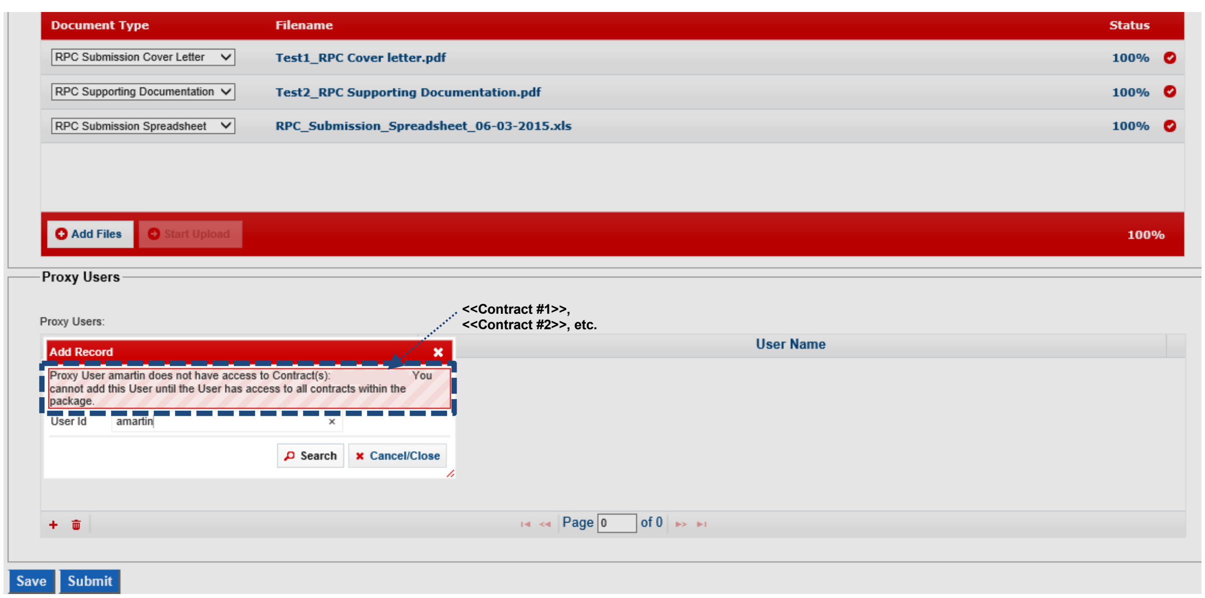
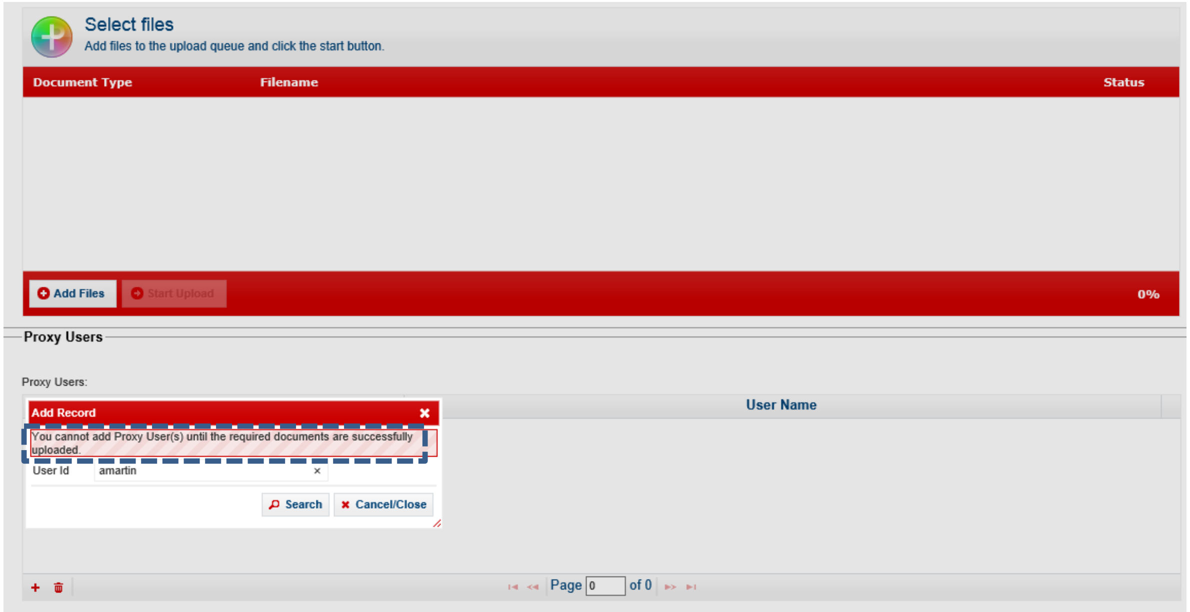


Figure 77: Create Package – Category 2 Submission Package: Add Proxy User Before Documents

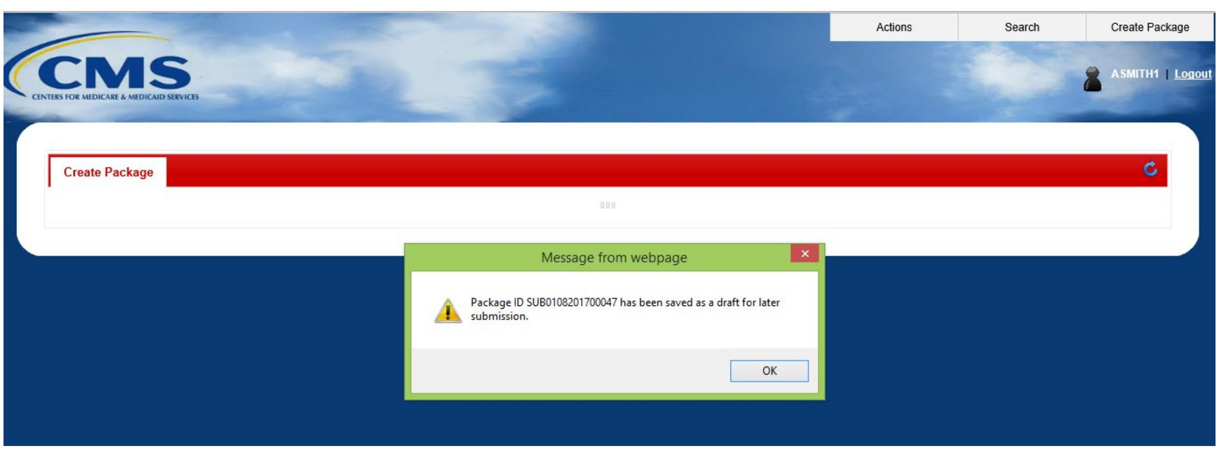


5. To delete proxy information from the Proxy Users grid, please follow the steps below (in reference to Figure 75):
   a) **Action**: Select the row in the proxy user grid. The proxy user will be highlighted.
   b) **Action**: Click the trash can icon. The proxy user will be deleted.

   Note: The user can either ***Save*** or ***Submit*** the Package. No documents are required be uploaded to **Save**. Documents must be uploaded to ***Submit***.

6. **Action:** Click ***Save*** to store the package as "Draft". The Draft Submission message is displayed.

Figure 78: Create Package – Category 2 Submission Package: Save Package as Draft

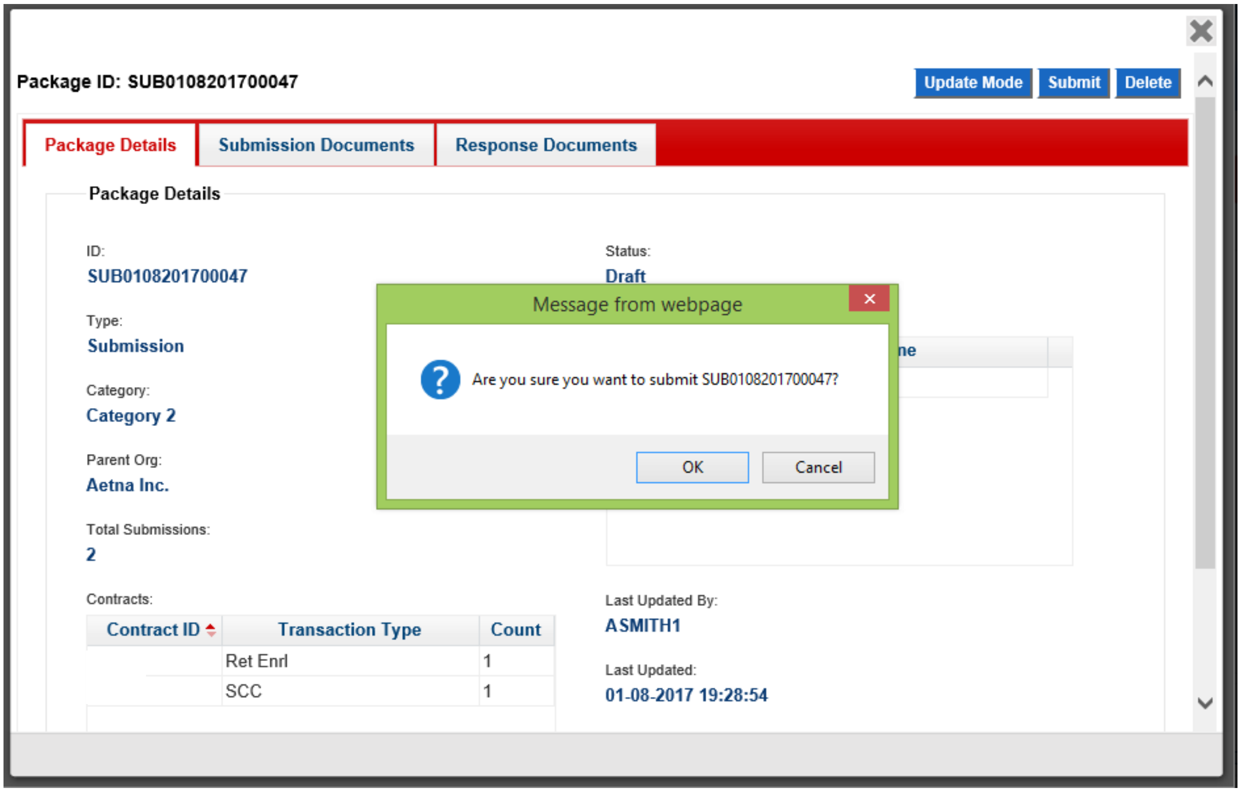


Note: A saved package is retrieved through the "Search" screen for Packages with "Draft" status. For information on how to perform a search, please refer to Section 4.3.3 Search Package.

7. **Action**: Click ***OK***.

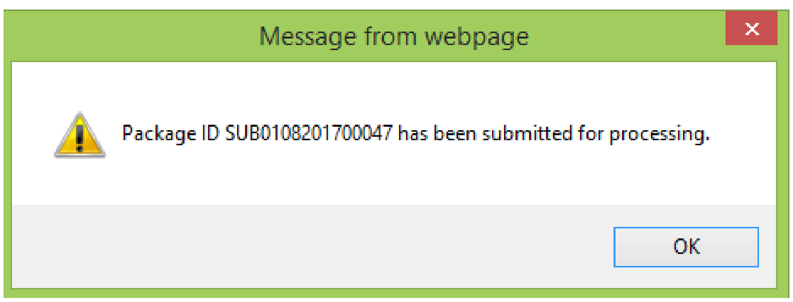
8. **Action**: To submit a Package, click ***Submit*** (see below) to see the package submission message. The below screen is applicable when you save the package as a "Draft" package for the first time before submitting the package for processing.

Figure 79: Create Package – Category 2 Submission Package: Submit Package



9. **Action:** Click ***OK***.

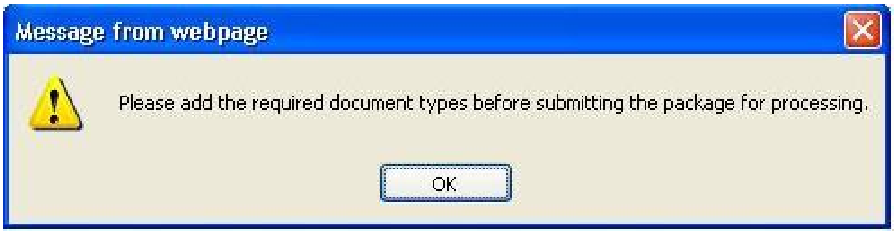
Figure 80: Create Package – Category 2 Submission Package: Package Submission Success



Note: A Submitted Package can be retrieved through the "Search" screen for Packages with "Open" status.

10. **Action**: Click ***OK***. If required documents for the Package have not been added before submitting the Package a warning will display.

Figure 81: Create Package – Category 2 Submission Package: Required Documents Error Message



11. **Action**: If the required document types error message is received, click ***OK*** and return to add the required documents and submit the Package (Steps 5 to 10).

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

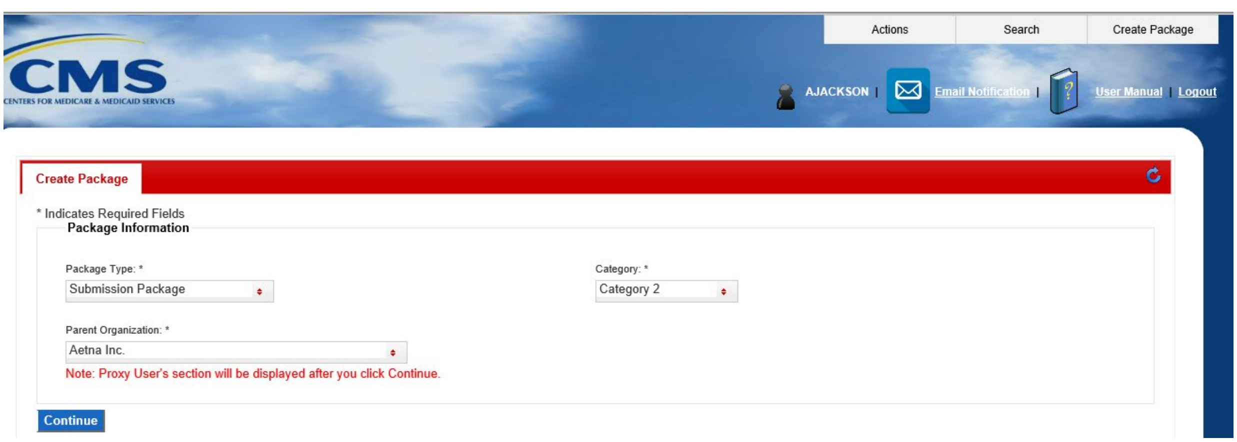
4.3.1.2 Create Package – Category 3 / Special Submission Package

All Category 3 and Special Packages (Except LI-NET package, these are packages for contracts that typically starts with ‘Xxxxx’, xxxx are numeric digits) require approval from the respective RO Account Manager. LI-NET packages are the only package that falls under the discretion of CMS Central Office User for their review and approval.

The following steps will guide you through creating a Category 3 Submission Package. The steps are the same for Special Submission Package also.

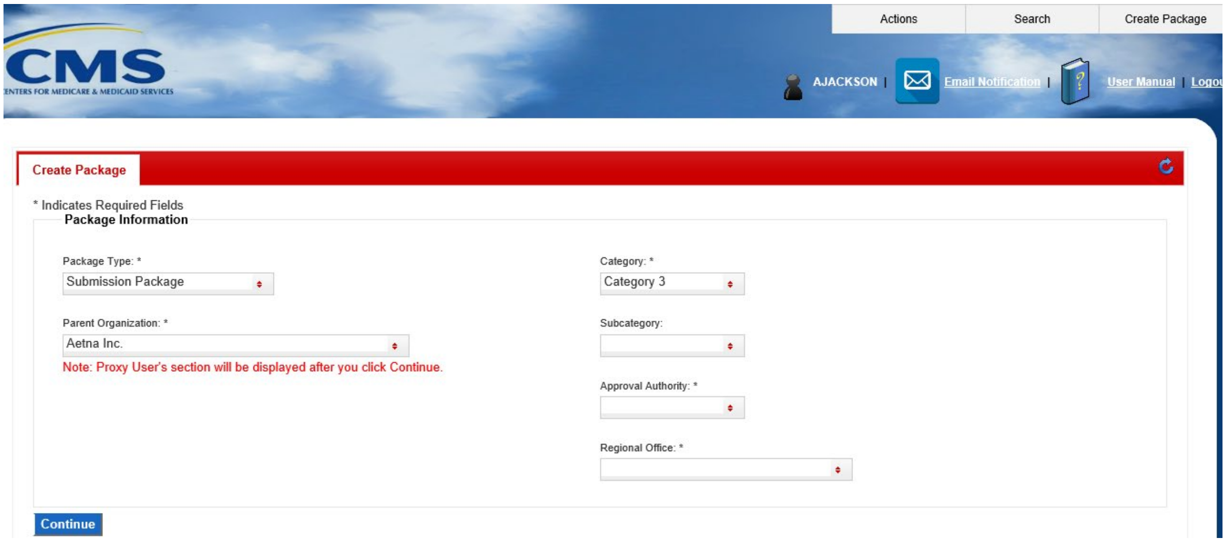
1. **Action**: Login to the eRPT application.
2. **Action**: Click ***Create Package***.
   Note: By default, the “Package Type” is shown as “Submission Package” and the “Category” is displayed as “Category 2”.
3. **Action**: Select a parent organization from the “Parent Organization” drop-down field. For our example, let us select “Aetna Inc.”
   Note: If the user’s Parent Organization does not display, please contact the MAPD Helpdesk at mapdhelp@cms.hhs.gov or 1-800-927-8069 to create a ticket.

Figure 82: Create Package – Category 3 Submission Package: Select Parent Organization



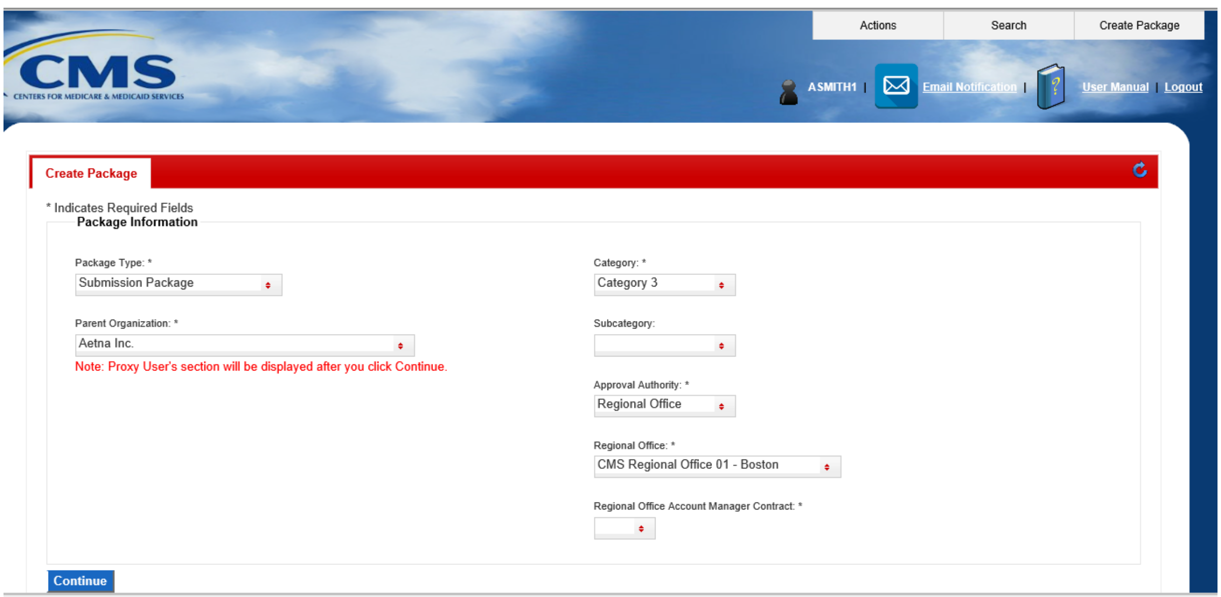
4. **Action:** Select “Category 3” from the “Category” drop-down field. After you make this selection, the screen will be displayed as below.

Figure 83: Create Package – Category 3 Submission Package: Select Package Category



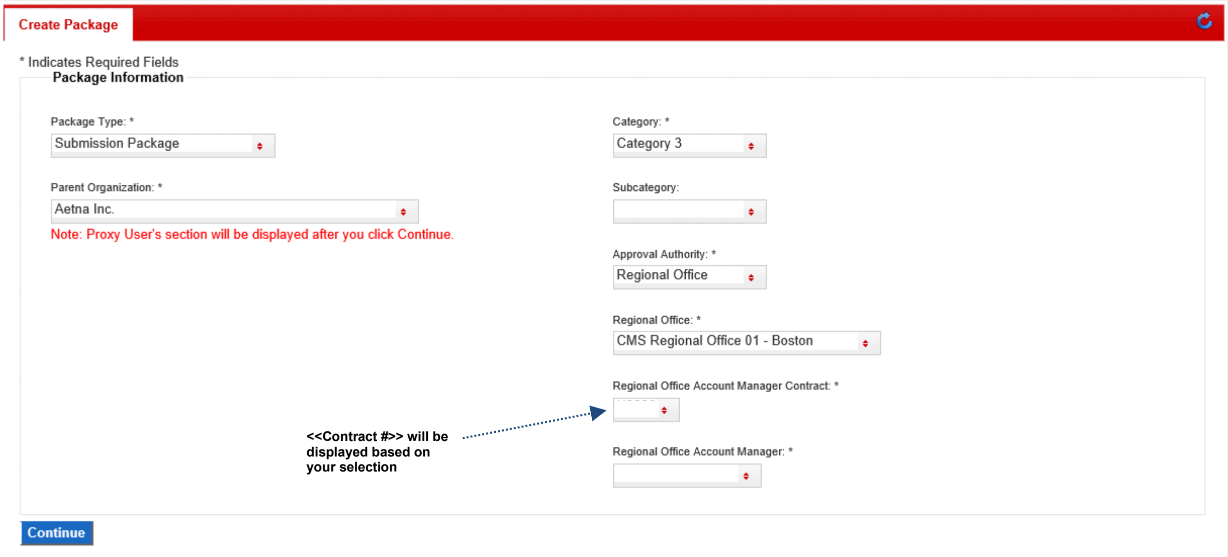
5. **Action:** For our example, select "Regional Office" from the "Approval Authority" drop-down field and select the appropriate Regional Office from the "Regional Office" drop-down field.

Figure 84: Create Package – Category 3 Submission Package: Select Approval Authority



6. **Action:** Select a contract from the "Regional Office Account Manager Contract" drop-down field that you would like to associate to the package. In other words, this contract should be included in the "RPC Submission Spreadsheet" that you will upload in the next step. You will see an error, if the selected contract is not included in the list of contracts in the "RPC Submission Spreadsheet" and you will not be allowed to submit the package until you correct for the error. Figure 95 discusses this error message scenario.

Figure 85: Create Package – Category 3 Submission Package: Select Contract Number



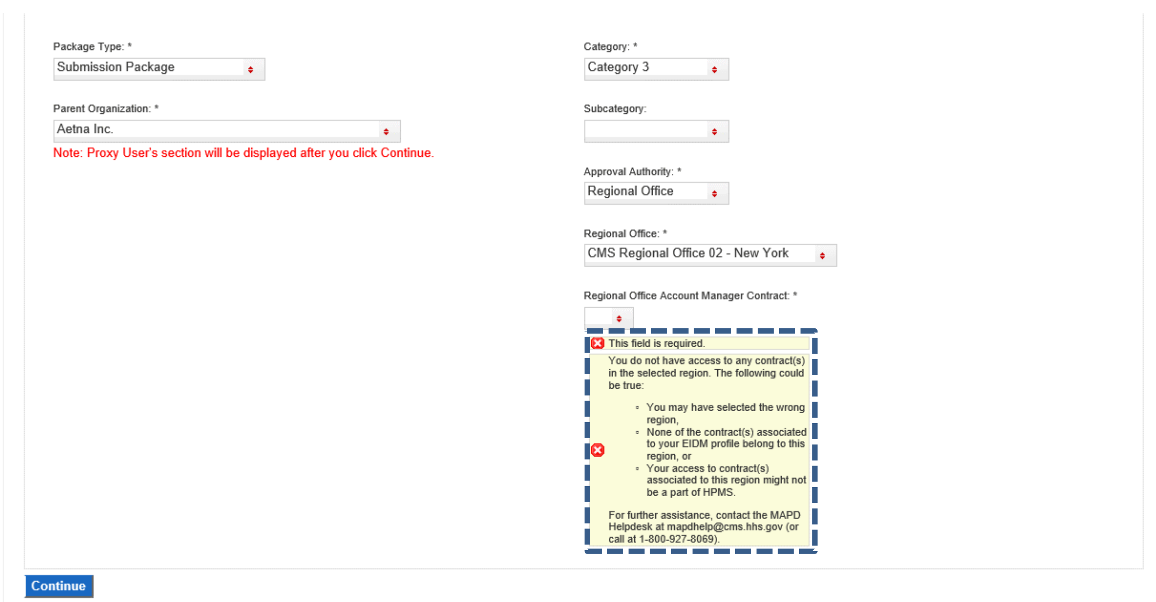
Note: If you do not find any contract in the "Regional Office Account Manager Contract" drop-down field, you will see the following error message. Refer to Figure 86.

"You do not have access to any contract(s) in the selected region. The following could be true:

- You may have selected the wrong region,
- None of the contract(s) associated to your EIDM profile belong to this region, or
- Your access to contract(s) associated to this region might not be a part of HPMS.

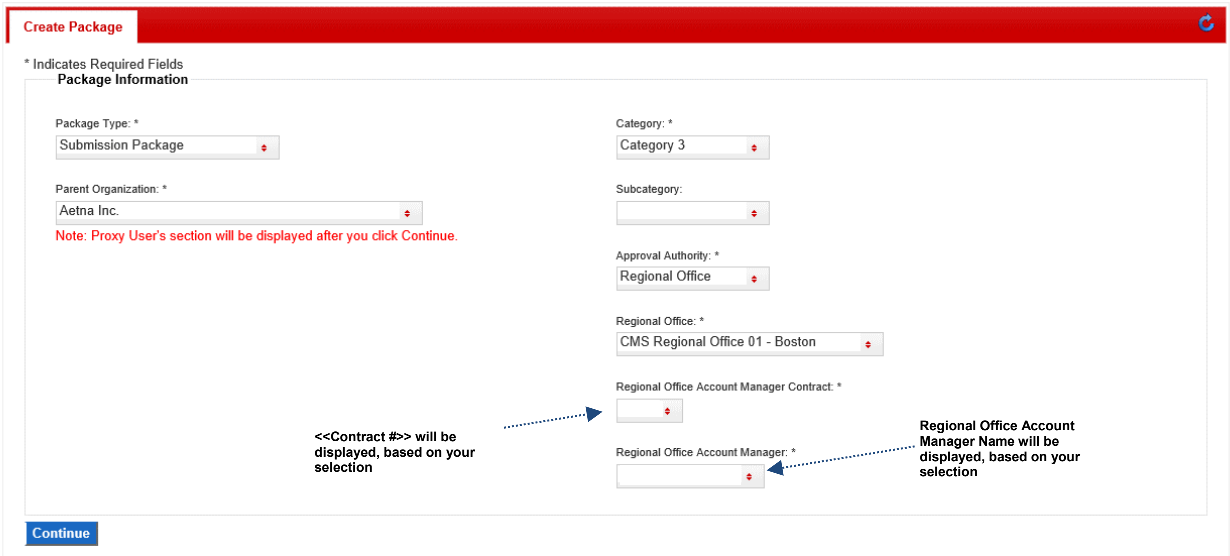
For further assistance, contact the MAPD Helpdesk at mapdhelp@cms.hhs.gov (or call at 1-800-927-8069)."

Figure 86: Create Package – Category 3 Submission Package: Contract Number Does Not Exist



7. **Action:** Select a Regional Office Account Manager from the "Regional Office Account Manager" drop-down field who oversees the contract you selected above.
8. **Action:** Click ***Continue***.

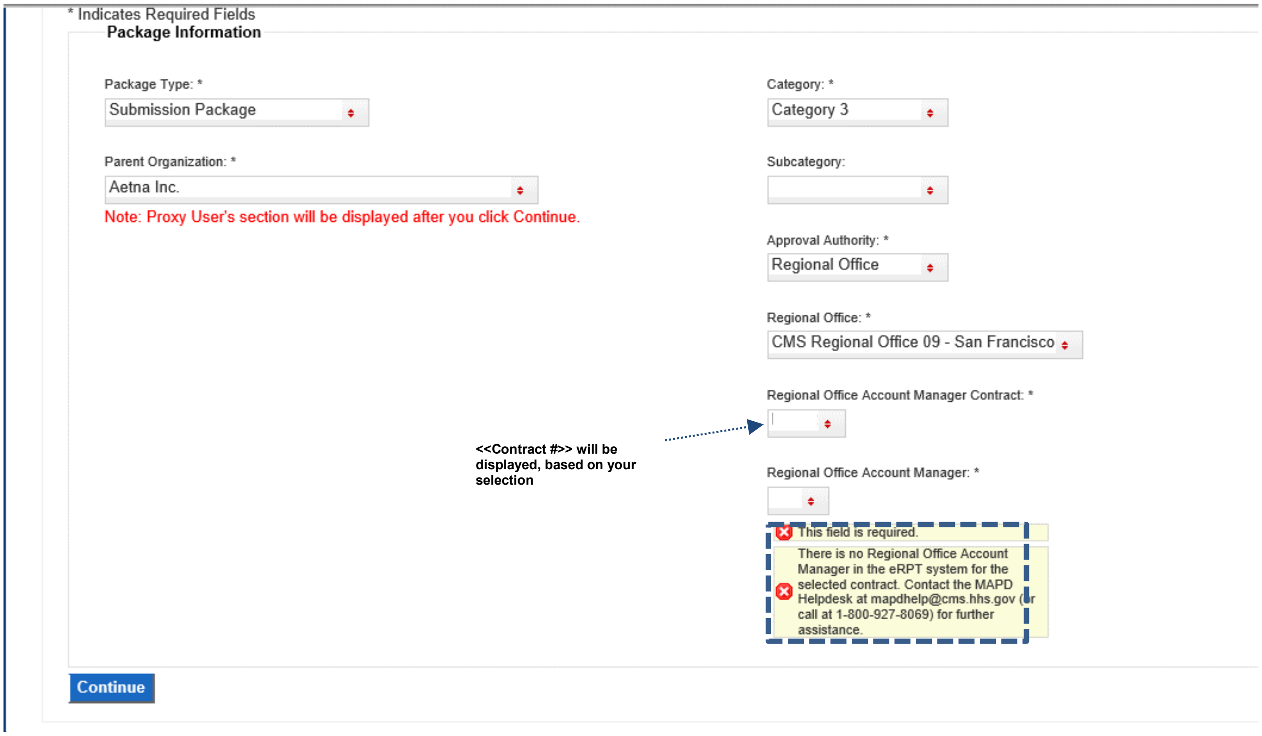
Figure 87: Create Package – Category 3 Submission Package: Select Regional Office Account Manager



Note: If there is no Regional Office Account Manager in eRPT for the selected contract, you will see the following error message, as shown in Figure 88. Unless the selected contract has a Regional Office Account Manager in eRPT, you cannot proceed to the next step in the submission process.

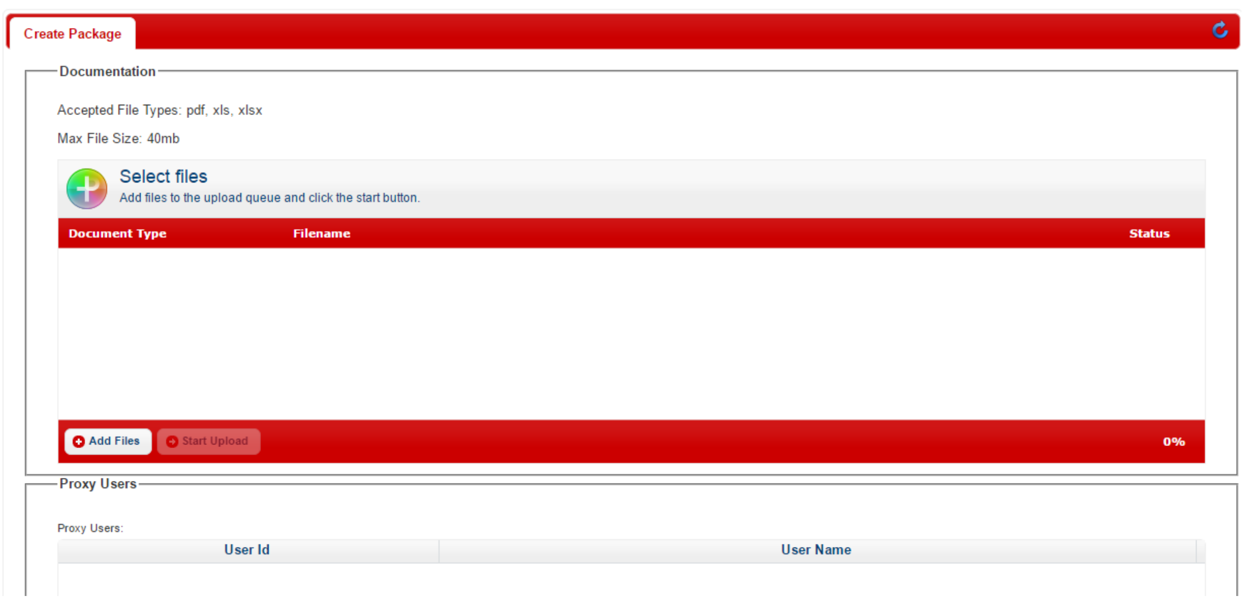
"There is no Regional Office Account Manager in the eRPT system for the selected contract. Contact the MAPD Helpdesk at mapdhelp@cms.hhs.gov (or call at 1-800-927-8069) for further assistance."

Figure 88: Create Package – Category 3 Submission Package: Regional Office Account Manager Does Not Exist for the Contract



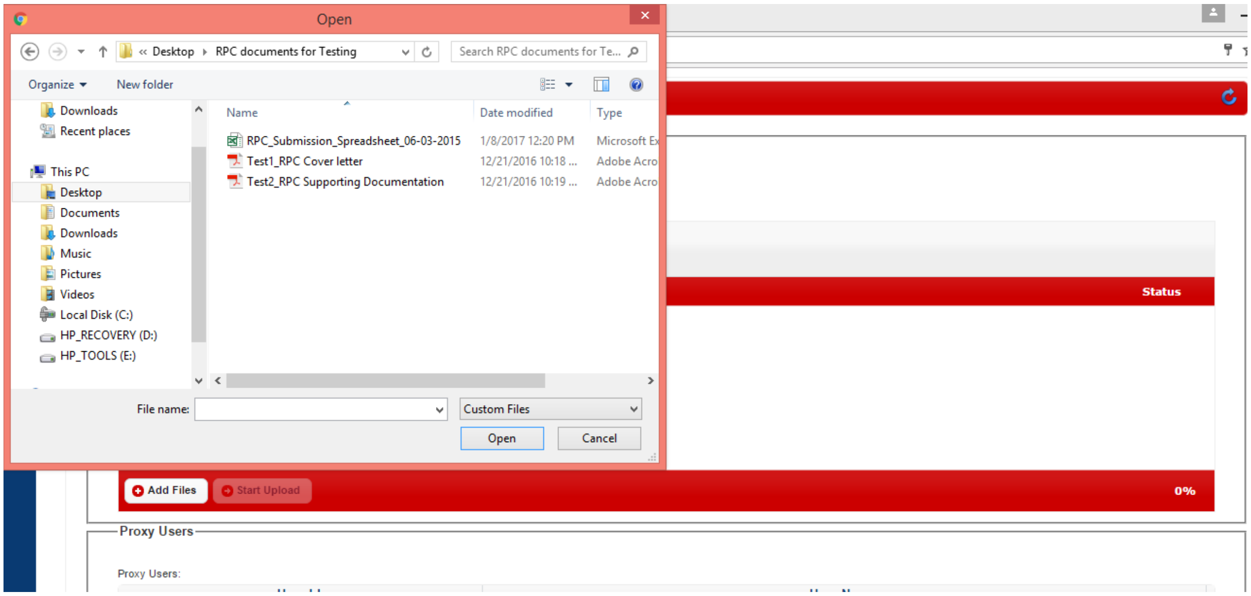
9. The ***Documentation*** screen will be displayed. The user can ***Add Files*** to a Package.

Figure 89: Create Package – Category 3 Submission Package: Select Files



10. **Action:** Click ***Add Files***. A Windows Explorer pop-up window opens.

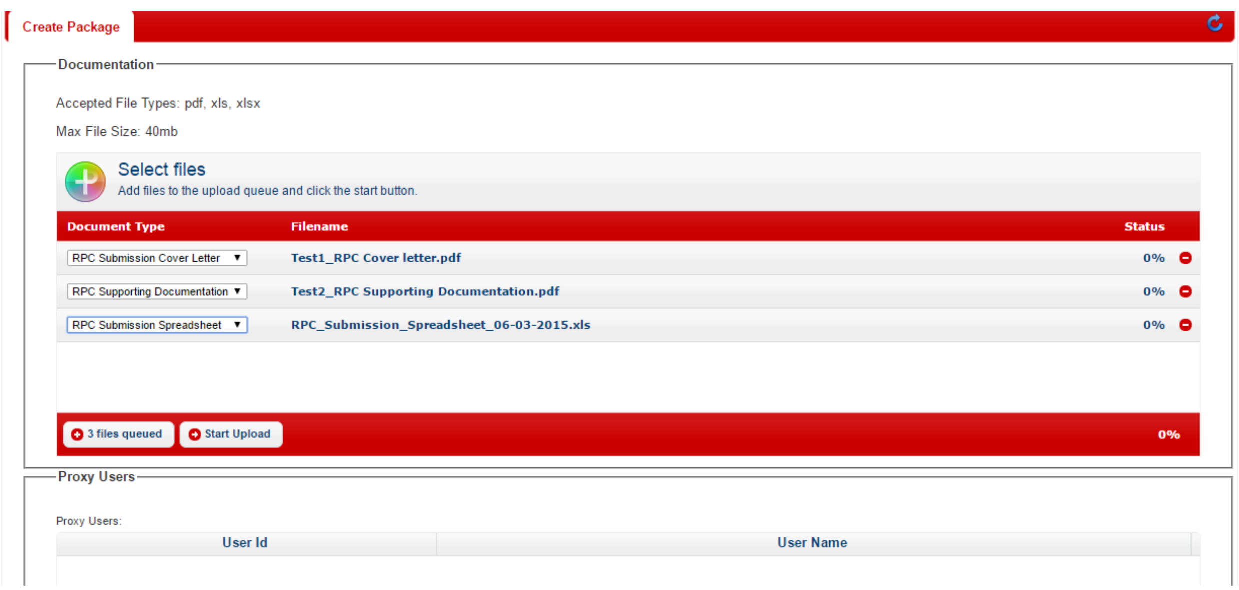
Figure 90: Create Package – Category 3 Submission Package: Add Files to the User Interface



11. **Action**: Select the files you want to add and click ***Open***. The selected document(s) will display in the user interface.

    Note: Refer to the RPC website for the file naming conventions.

Figure 91: Create Package – Category 3 Submission Package: Selected Files Displayed



12. **Action**: Select the appropriate ***Document Type*** for each document (Refer to Table 9 to view the appropriate values). The default for all 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 process step.

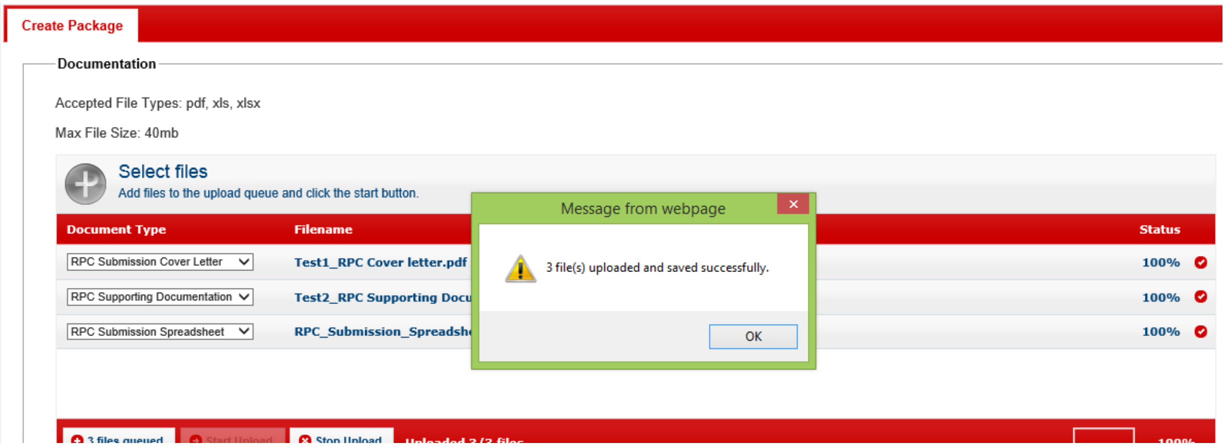
13. **Action**: Click ***Start Upload***. The user must upload at least one document for each of the following document types for successful submission of the Package:

- RPC Submission Cover Letter (PDF file).
- RPC Submission Spreadsheet (XLS or XLSX file).
- RPC Supporting Documentation (PDF file(s)).

Note: Acceptable file types for uploading are Portable Document Format (PDF) and Excel format (.XLS and .XLSX). The format "XLSM" is not supported by the eRPT. Please refer to Section 4.5 for steps to convert an XLSM format document.

Upon successful upload, the file upload message is displayed.

Figure 92: Create Package – Category 3 Submission Package: File(s) Upload Success



14. **Action:** Click ***OK***.
Note – The following are the preconditions to be met for the successful upload of "RPC Submission Spreadsheet":
    a) The "RPC Submission Spreadsheet" must include information only for contracts that the user has access to. If you have a contract in the spreadsheet that you do not have access to, the spreadsheet wouldn't be uploaded successfully and you will see an error. The status of the upload will display as "Failed." Refer to Figure 94.
    b) For a Category 3 or Special Submission packages (Not referring to the LI-NET package here), the "RPC Submission Spreadsheet" must include the contract that was selected in the previous screen (the contract you selected in Step 6 of this process) as one of the contracts. Otherwise, the system wouldn't let you upload the Submission Spreadsheet and you will see an error. The status of the upload will display as "Failed". Refer to Figure 95.
    c) If the "RPC Submission Spreadsheet" does not have any contract information, the system wouldn't let you to upload the spreadsheet. You will see an error message and the status of the upload will display as "Failed". Refer to Figure 96.
15. **Action:** Click ***OK*** (as shown below in the message window box).

Figure 93: Create Package – Category 3 Submission Package: Do Not Have Access to Contract(s)

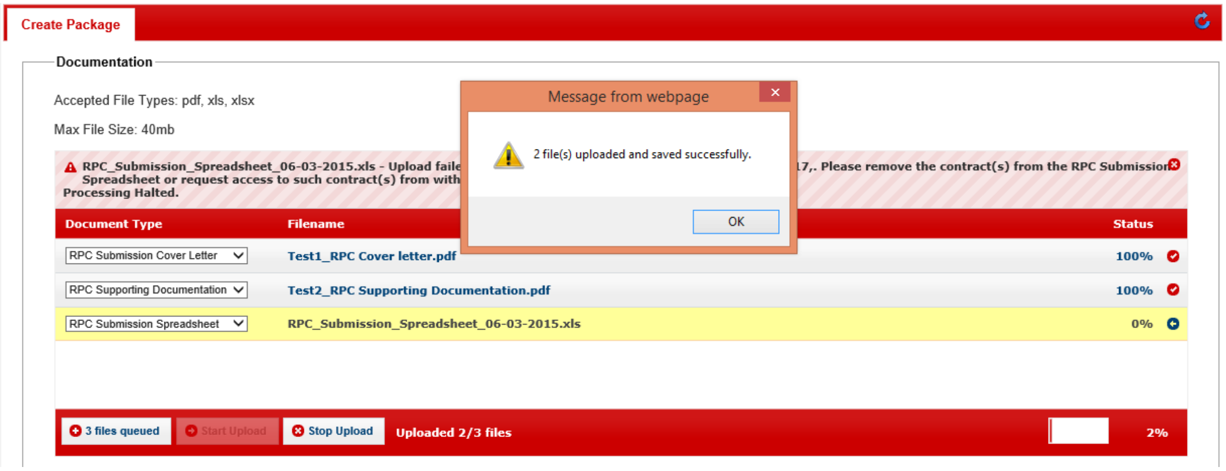


Figure 94: Create Package – Category 3 Submission Package: Access to Contract - Error Message

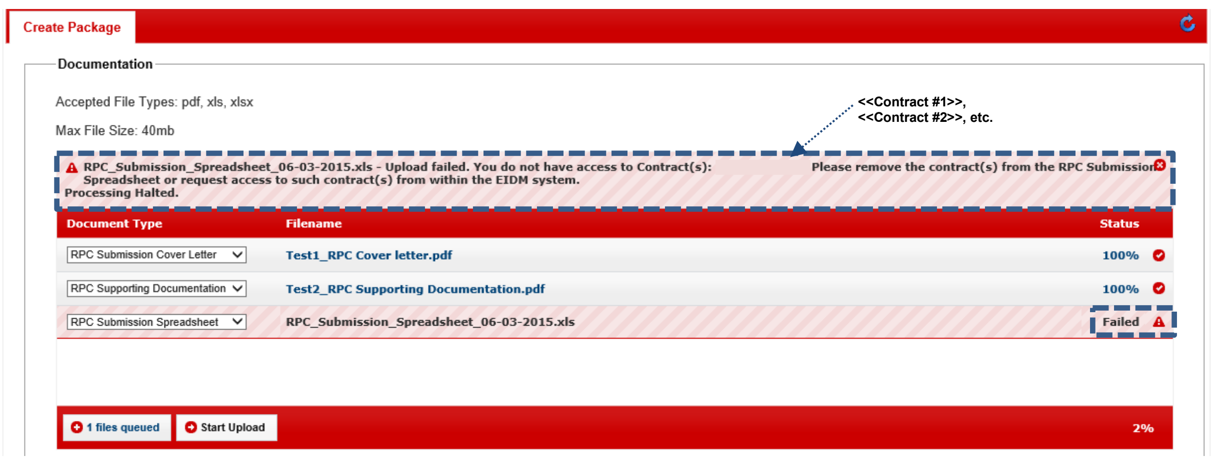


Figure 95: Create Package – Category 3 Submission Package: Selected Contract Does Not Match the RPC Submission Spreadsheet

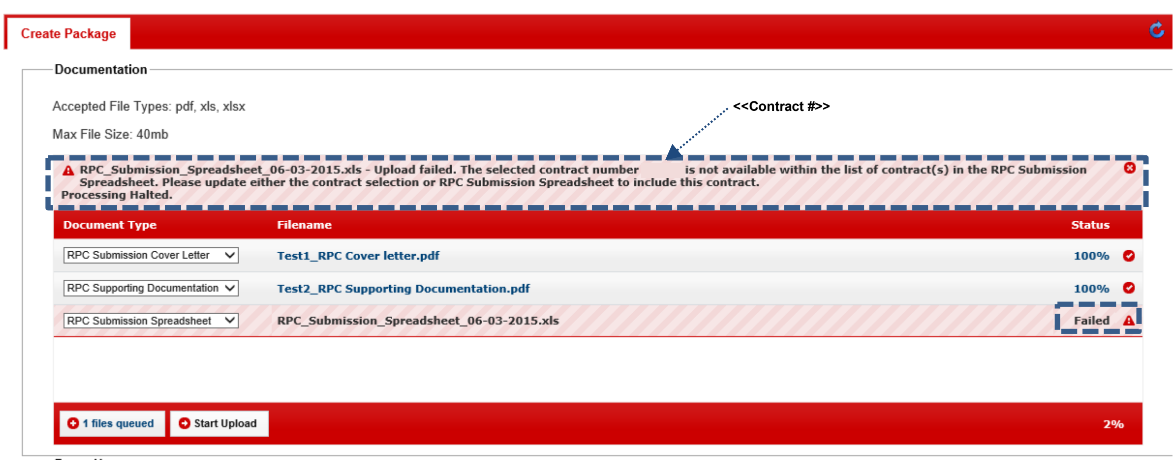
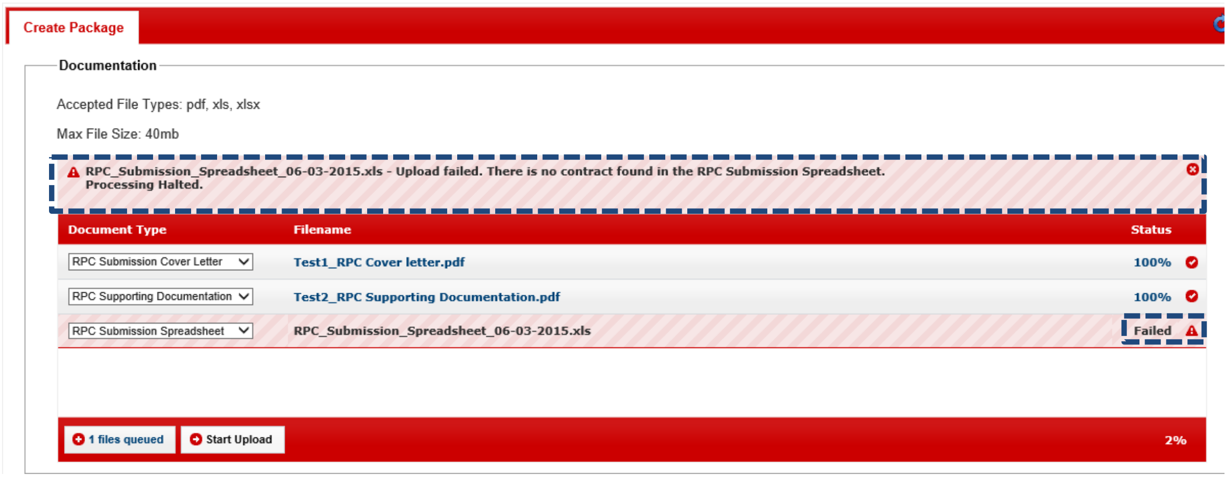


Figure 96: Create Package – Category 3 Submission Package: Contract Information Missing



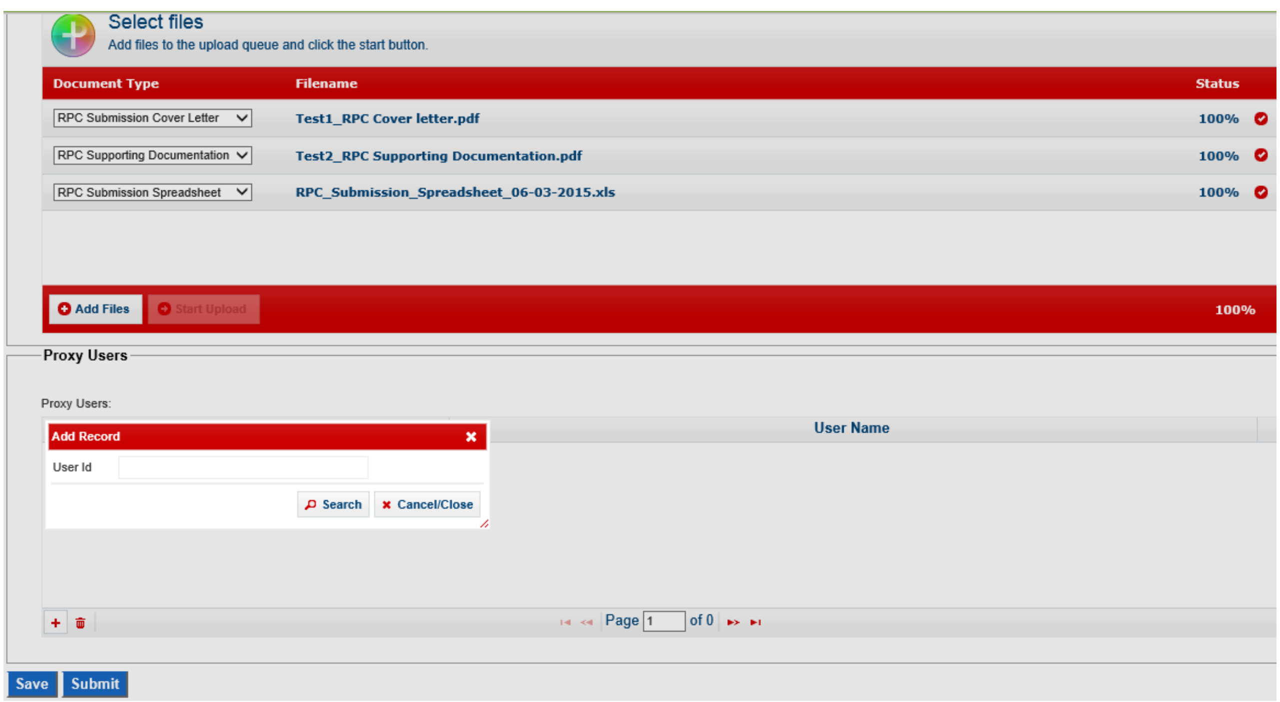
Note: Correct the “RPC Submission Spreadsheet” for the error(s) mentioned above and try re-uploading the spreadsheet again. Unless the spreadsheet is appropriately corrected for the error, you cannot submit the package.

4.3.1.2.1 Adding Proxy User(s) to a Submission Package

Please follow the steps below to add proxy users. Note: Adding proxy user(s) is contingent only upon the successful upload of the “RPC Submission Spreadsheet”.

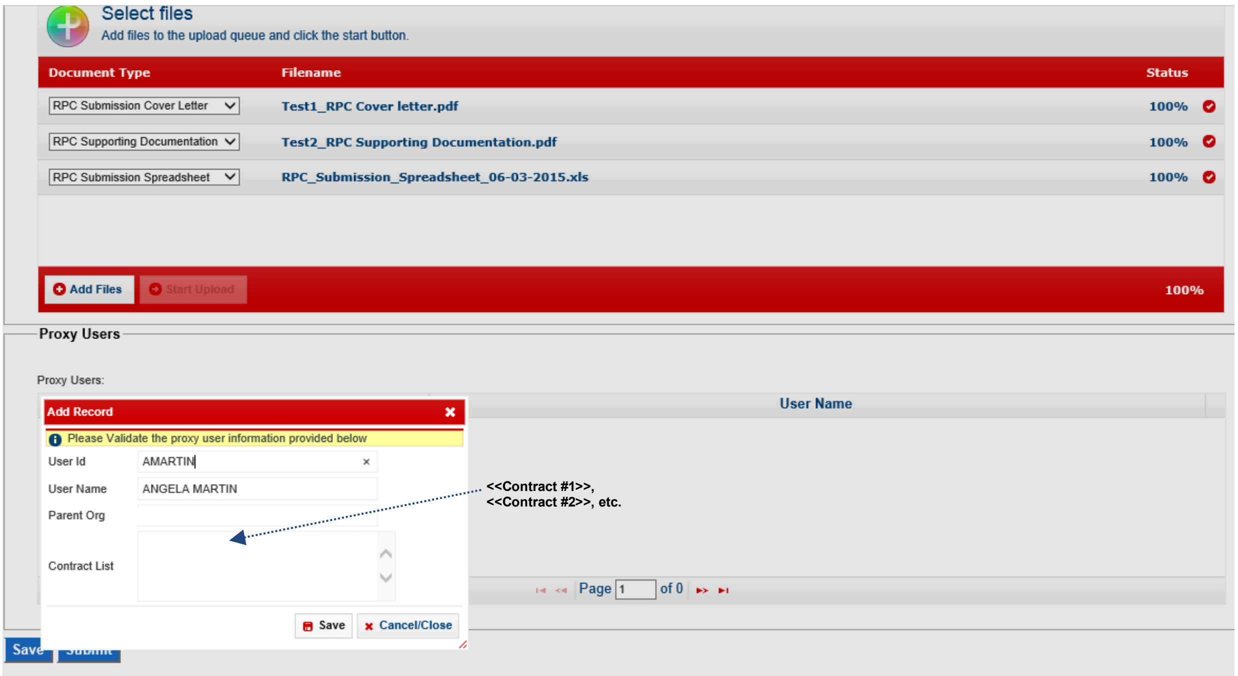
1. **Action**: To add proxy information click the **+** sign in the contract grid.

Figure 97: Create Package – Category 3 Submission Package: Proxy User Information



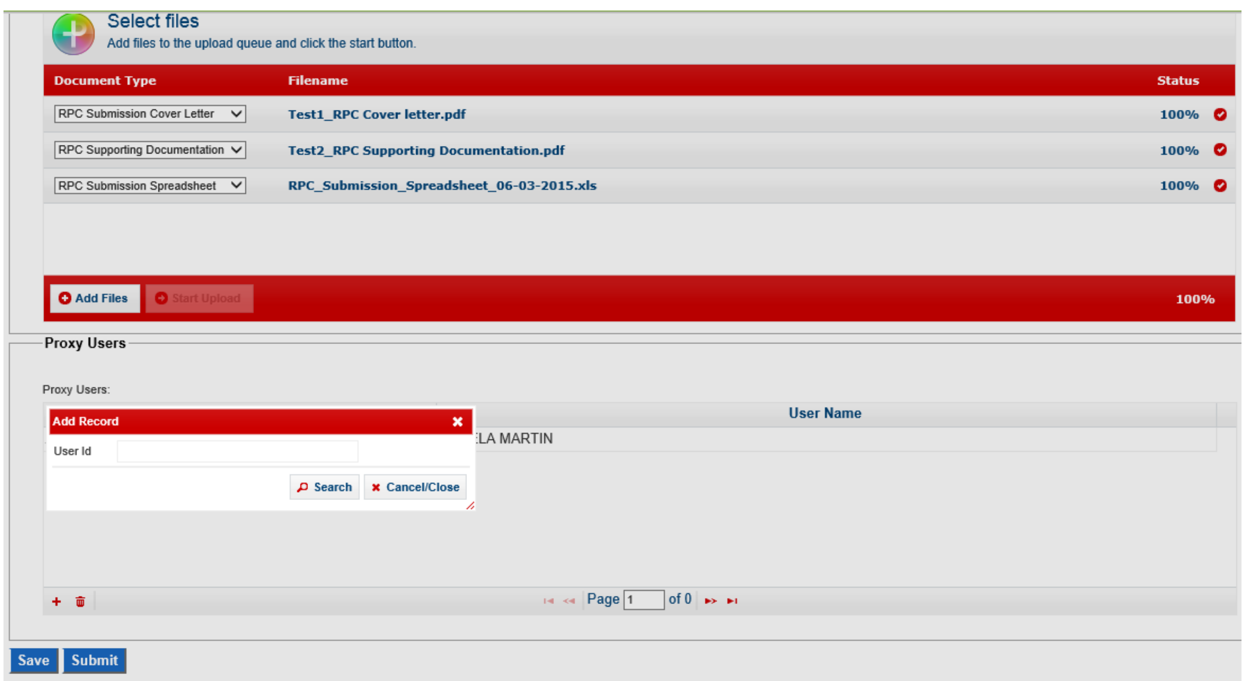
2. **Action**: The eRPT Plan User will enter the User ID of the designated proxy and click ***Search***. The result will be displayed.

Figure 98: Create Package – Category 3 Submission Package: Add Proxy User



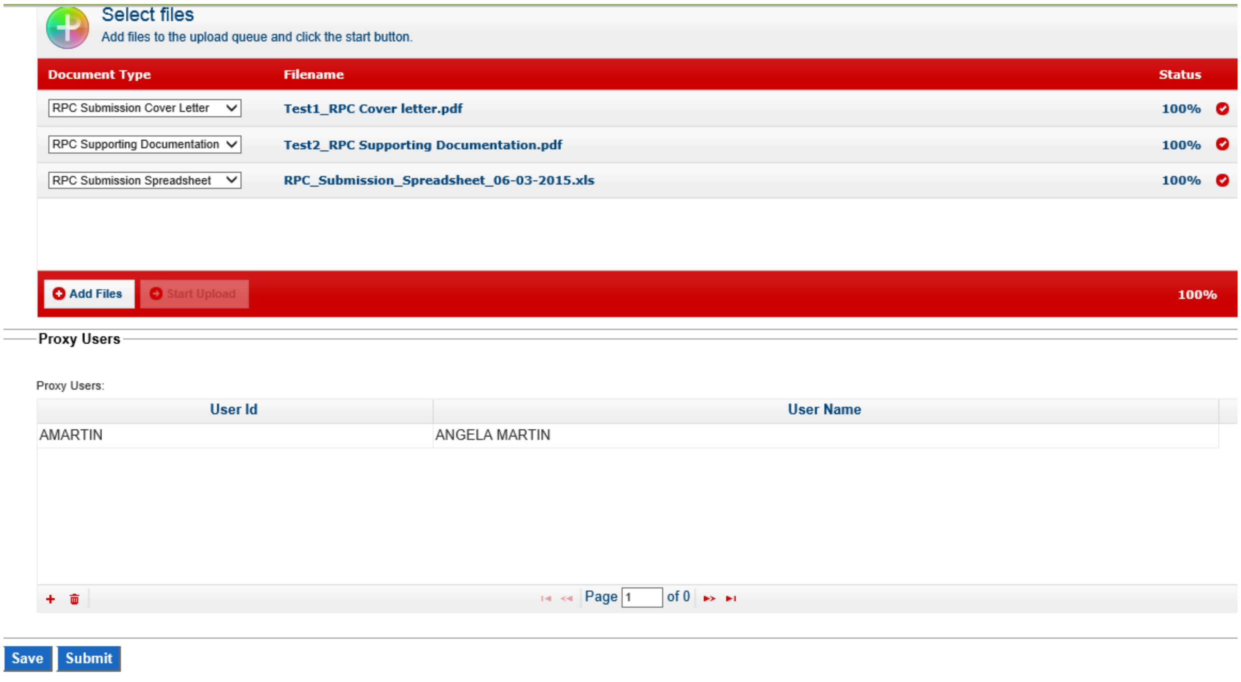
3. **Action**: Click ***Save***. The proxy information will be added in the Proxy Users grid.

Figure 99: Create Package – Category 3 Submission Package: Save Proxy User



4. **Action**: Add additional proxy users (maximum three (3) users per package). If the ***Add Record*** window remains open after adding all proxy users (as appropriate), click ***Cancel/Close*** at the bottom of the window or the icon ***X*** at the top of the window. This is in reference to Figure 99.

Figure 100: Create Package – Category 3 Submission Package: Proxy User Added to Package



Note: The eRPT System wouldn't let you to add a proxy user who does not have access to the contract(s) that the package is created for. Also, you are required to upload the completed RPC Submission Spreadsheet (that holds all the contract list along with other pertinent information) before you could add a proxy user. Please refer to the following screenshots for more information (refer to Figure 101 and Figure 102).

Figure 101: Create Package – Category 3 Submission Package: Proxy User Contract Access

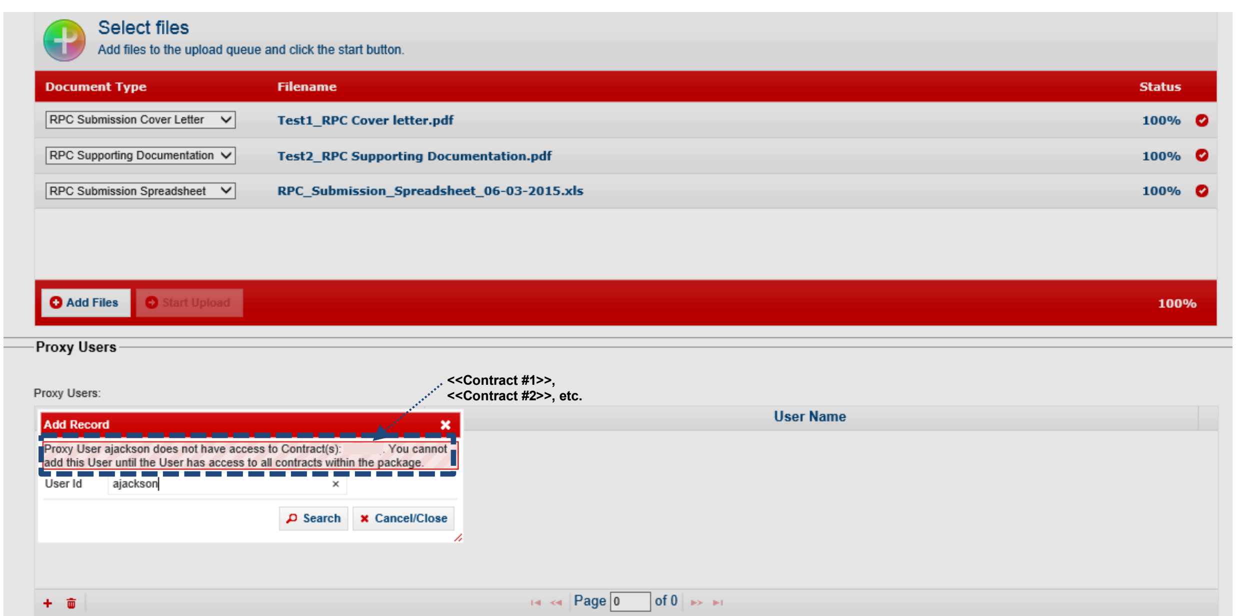
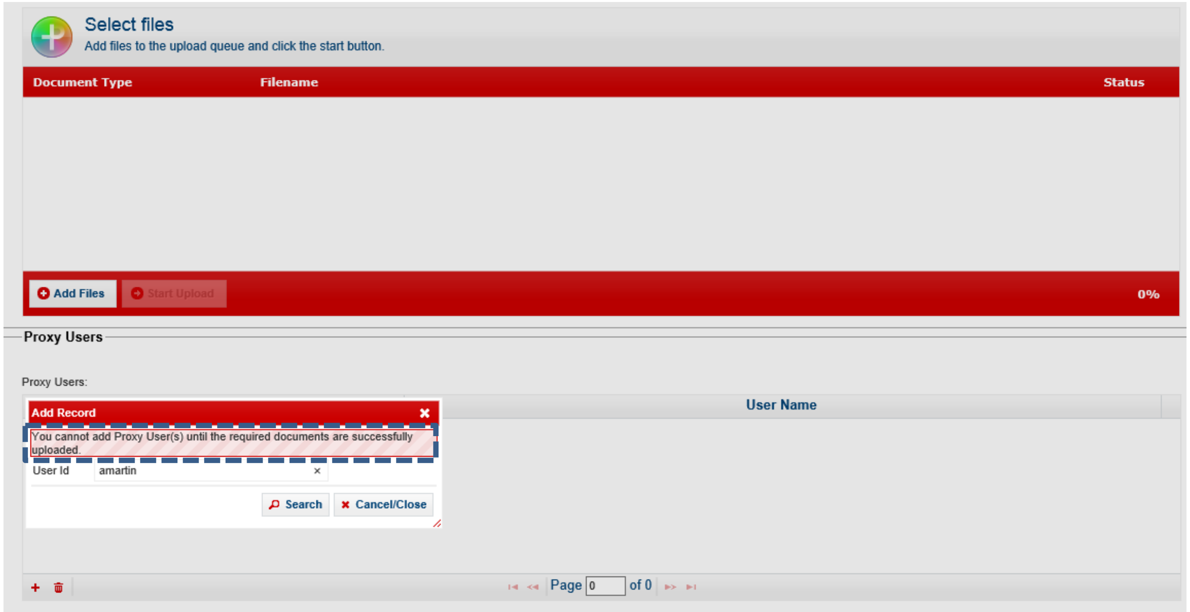


Figure 102: Create Package – Category 3 Submission Package: Add Proxy User Before Documents

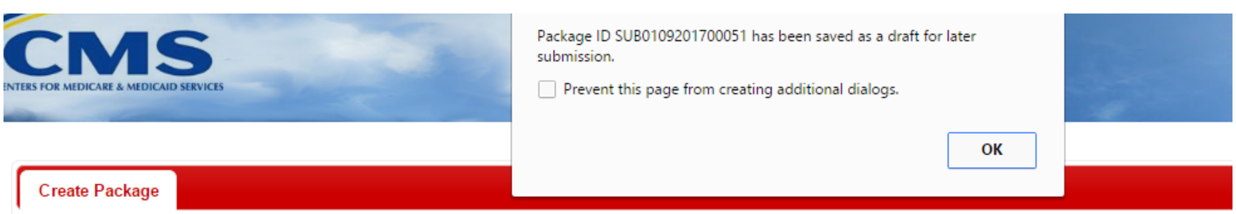


5. To delete proxy information from the Proxy Users grid, please follow the steps below (in reference to Figure 100):
   a) **Action**: Select the row in the proxy user grid. The proxy user will be highlighted.
   b) **Action**: Click the trash can icon. The proxy user will be deleted.

   Note: The user can either ***Save*** or ***Submit*** the Package. No documents are required be uploaded to **Save**. Documents must be uploaded to ***Submit***.

6. **Action:** Click ***Save*** to store the package as "Draft". The Draft Submission message is displayed.

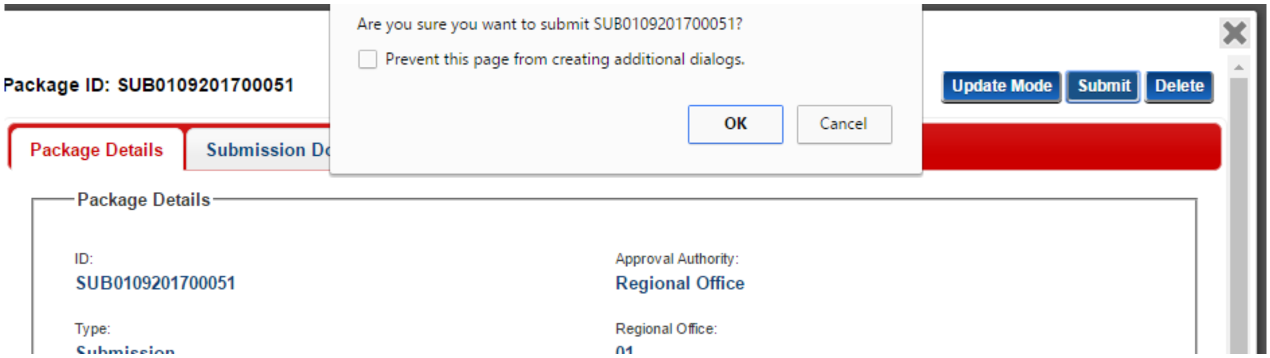
Figure 103: Create Package – Category 3 Submission Package: Save Package as Draft



Note: A saved package is retrieved through the "Search" screen for Packages with "Draft" status. For information on how to perform a search, refer to Section 4.3.3 Search Package.

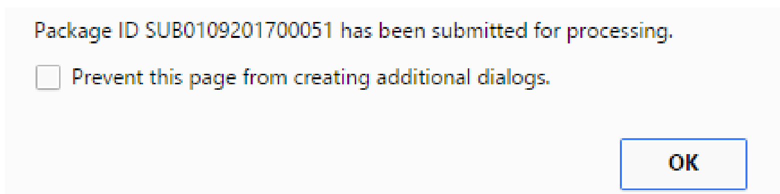
7. **Action**: Click ***OK***.
8. **Action**: To submit a Package, click ***Submit*** (see below) to see the package submission message. The below screen is applicable when you save the package as a "Draft" package for the first time before submitting the package for processing.

Figure 104: Create Package – Category 3 Submission Package: Submit Package



9. **Action:** Click ***OK***.

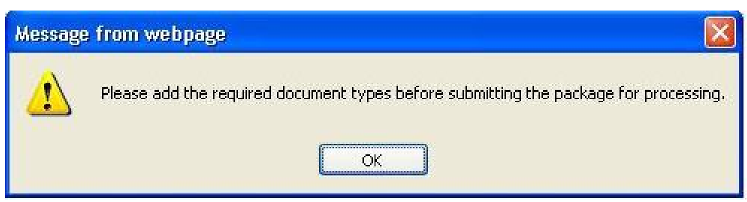
Figure 105: Create Package – Category 3 Submission Package: Package Submission Success



Note: A Submitted Package can be retrieved through the "Search" screen for Packages with "Open" status.

10. **Action**: Click ***OK***. If required documents for the Package have not been added before submitting the Package a warning will display.

Figure 106: Create Package – Category 3 Submission Package: Required Documents Error Message



11. **Action:** If the required documents error message is received, click ***OK***, add the required documents, and submit the Package again.

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

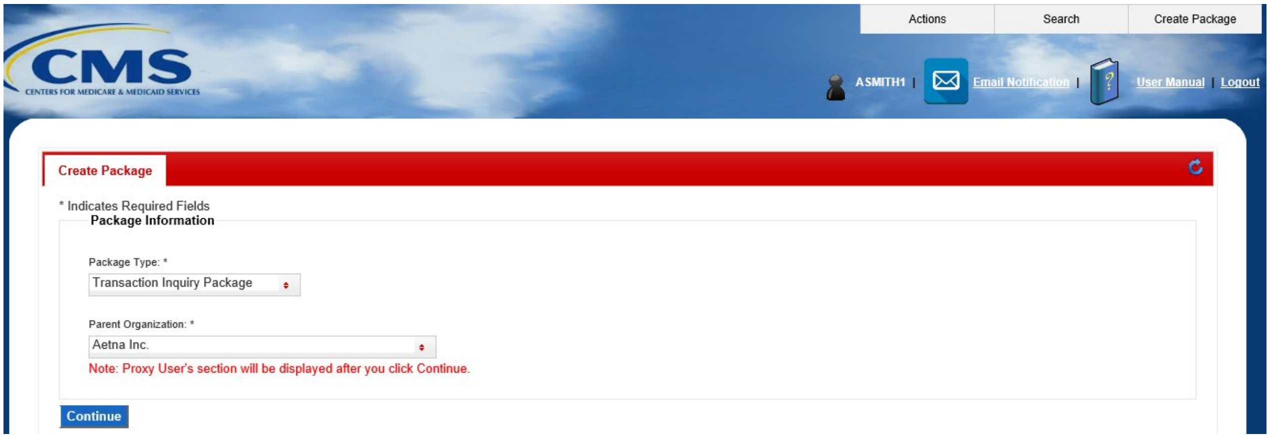
4.3.2 Create Package – Transaction Inquiry Package

1. **Action**: Login to the eRPT application.
2. **Action**: Click ***Create Package***.
3. **Action**: This screen allows the user to enter details for the Transaction Inquiry Package. Provide the following package information:
    a) **Package Type** – Select "Transaction Inquiry Package" from the "Package Type" drop-down field. By default, the "Package Type" displays as "Submission Package" and the "Category" displays as "Category 2".

b) **Parent Organization** – The organization to which the package belongs. For our example, let us select “Aetna Inc.” from the “Parent Organization” drop-down field.

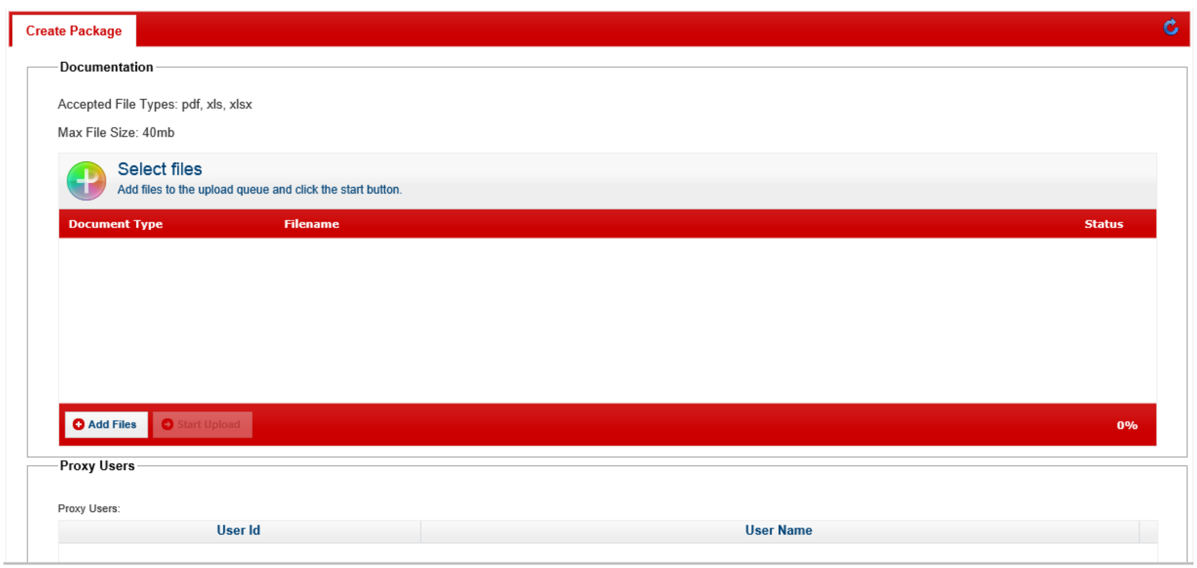
Note: If the user’s Parent Organization does not display, please contact the MAPD Helpdesk at mapdhelp@cms.hhs.gov or 1-800-927-8069 to create a ticket.

Figure 107: Create Package – Transaction Inquiry Package: Select Package Information



1 **Action**: After entering all the information required for the Package in this screen, click ***Continue***. The Documentation screen will be displayed. The user can add supporting documents to as Package.

Figure 108: Create Package – Transaction Inquiry Package: Select Files



2 **Action**: Click ***Add Files***. The pop-up window for the user to select documents is displayed. To upload XLS documents select Excel 97-2003 Workbook from ***Save-As***. To upload 'XLSX' documents select Excel Workbook. When the ***Excel 97-2003 Workbook*** is selected, all XLS documents within the local folder will be displayed.

Figure 109: Create Package – Transaction Inquiry Package: Select XLS or XLSX Files Only

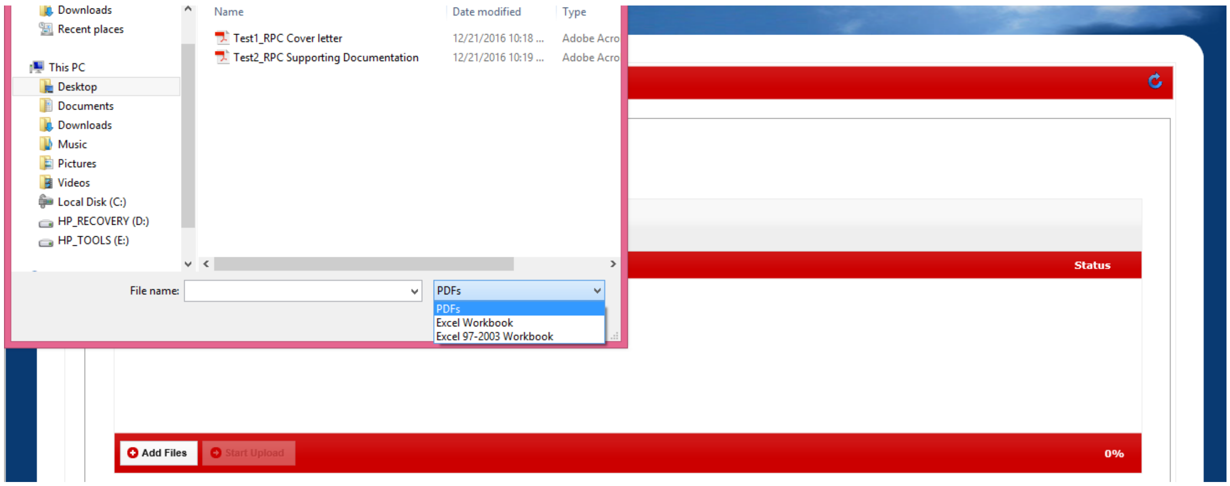
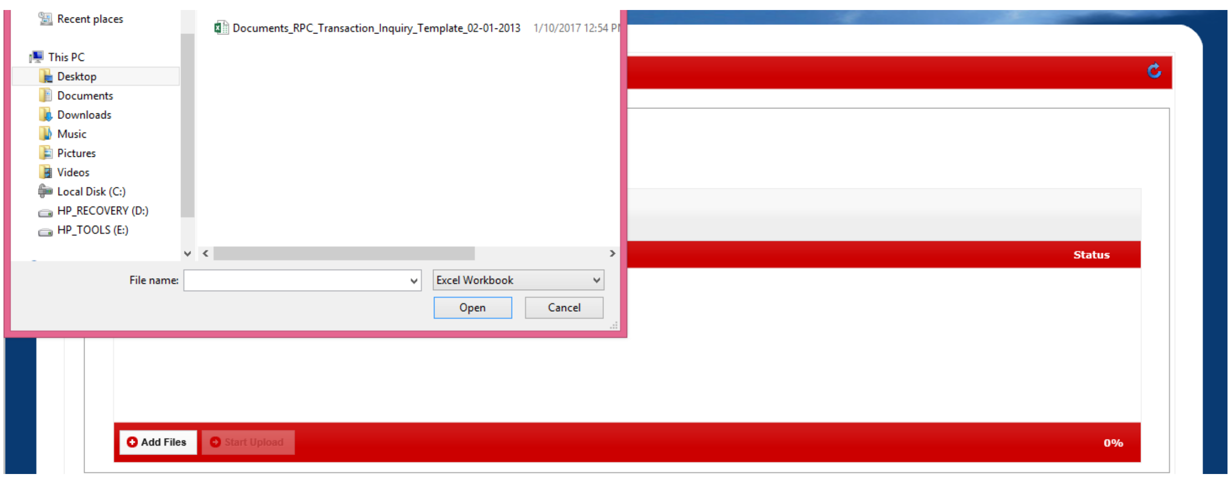
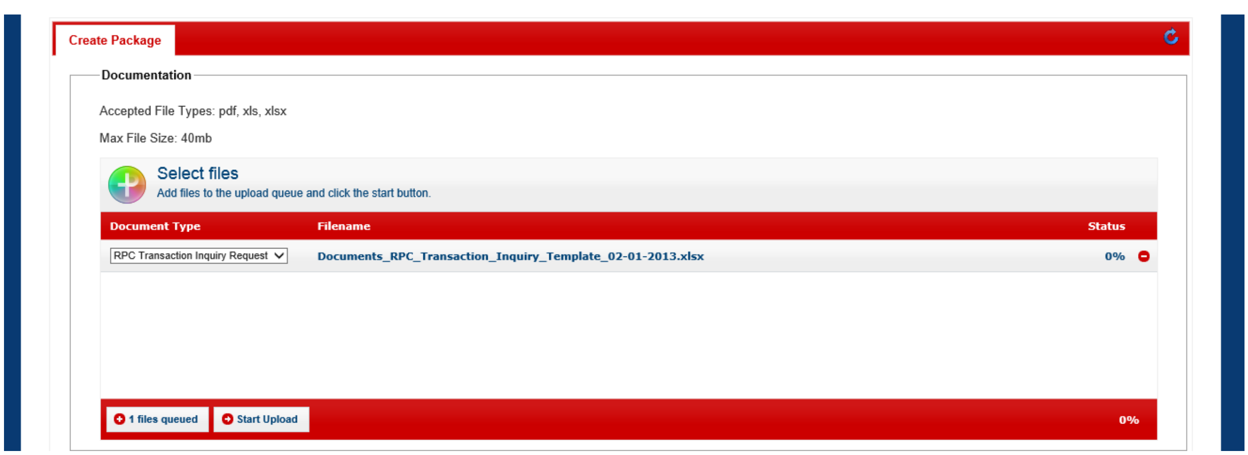


Figure 110: Create Package – Transaction Inquiry Package: XLSX Files Shown



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

Figure 111: Create Package – Transaction Inquiry Package: Selected File Displayed

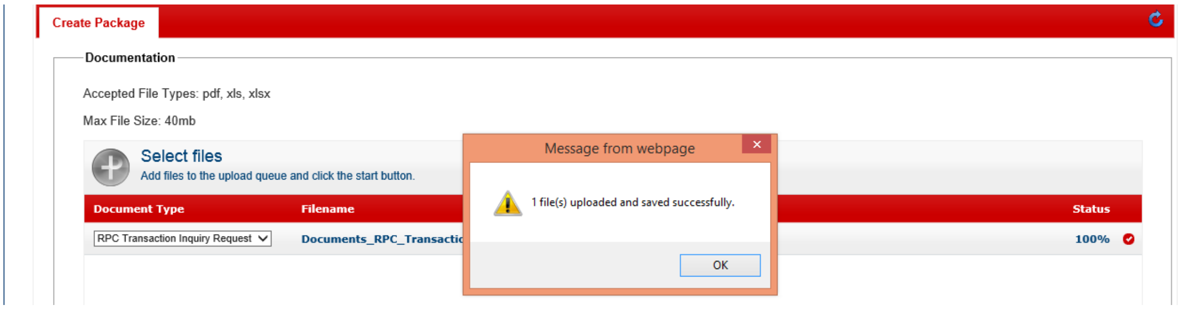


4 **Action**: Select the appropriate ***Document Type*** for each document. The default value is “RPC Transaction Inquiry Request” when creating a Transaction Inquiry

Package. This is the only value available for this process. The default value for the ***Document Type*** varies based on the Package Type and Step in the process.

5 **Action**: Click ***Start Upload***. The selected file is not uploaded until the user receives a successful upload message.

Figure 112: Create Package - Transaction Inquiry Package: File(s) Upload Success



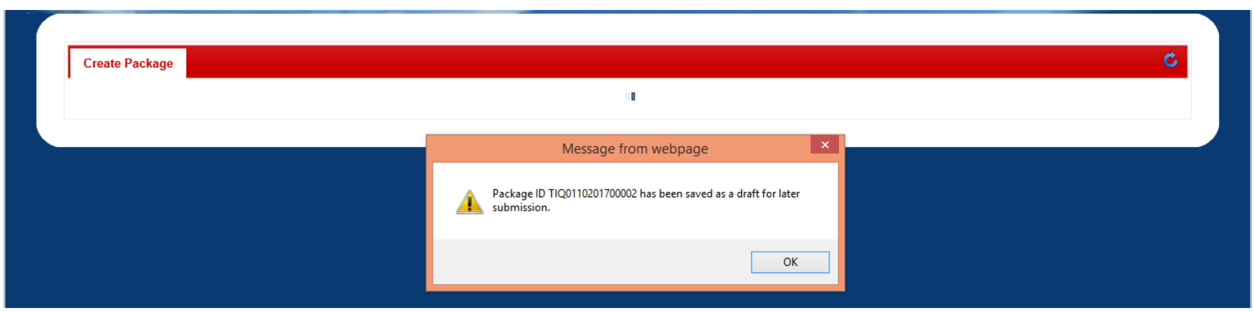
Add Proxy Users to a Transaction Inquiry Package - The process is the same as that illustrated for the Submission Package. Refer to Section 4.3.1.1.1.

6 **Action**: Click ***OK***.

Note: The user can ***Save*** the draft Package or **Submit** the Package.

7 **Action**: To save a Package as Draft and NOT submit, click ***Save*** at the bottom of the screen. You will see a message window box below.

Figure 113: Create Package - Transaction Inquiry Package: Save Package as Draft

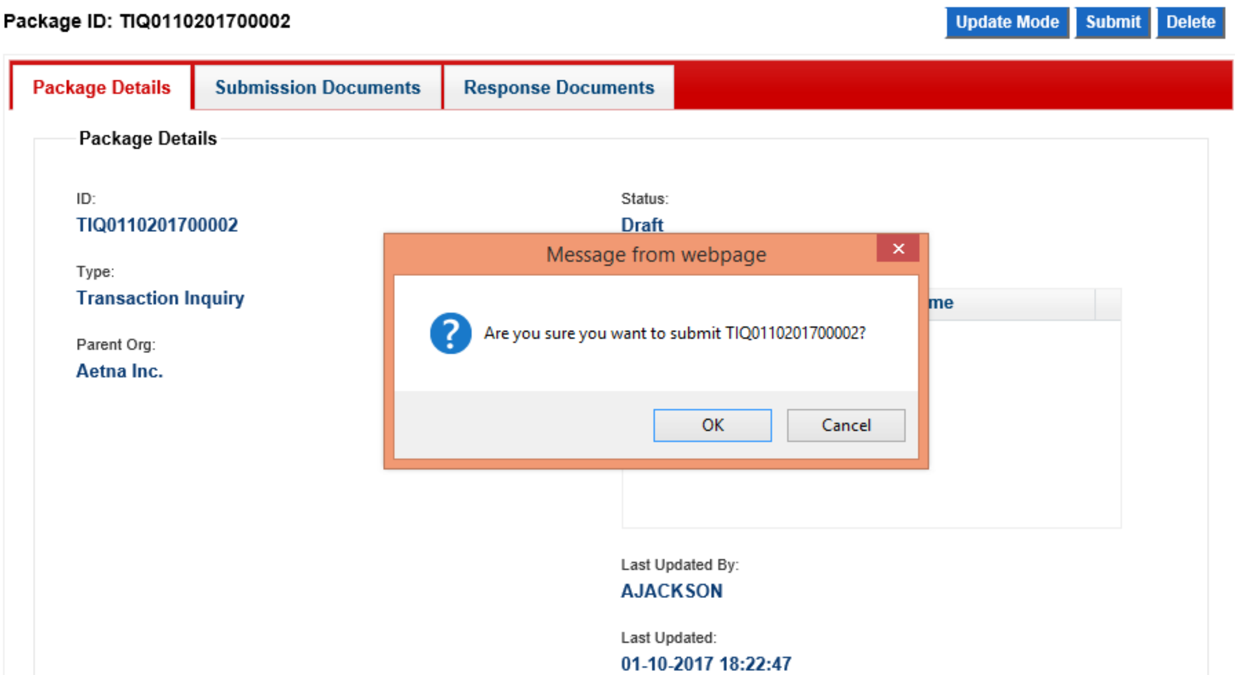


Note: A saved Package is retrieved through "Search' screen for Packages with "Draft" status. No documents are required to be uploaded prior to saving a draft package. For information on how to perform a search, please refer to Section 4.3.3 Search Package.

8 **Action**: Click ***OK***.

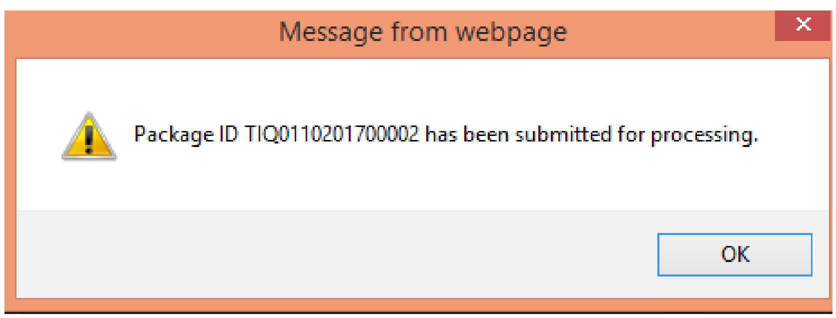
9 **Action**: To submit a Package, click ***Submit*** (see below) to see the package submission message. The below screen is applicable when you save the package as a "Draft" package for the first time before submitting the package for processing.

Figure 114: Create Package - Transaction Inquiry Package: Submit Package



10 **Action:** Click ***OK***.

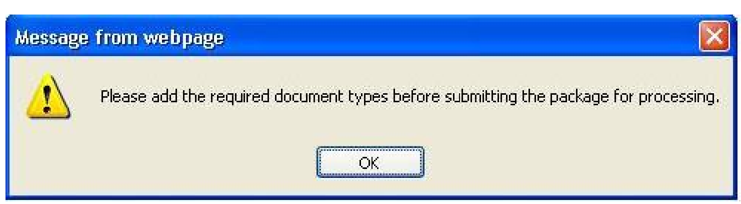
Figure 115: Create Package – Transaction Inquiry Package: Submission Success Message



Note: A submitted Package can be retrieved through the search screen for Packages with "Open" status.

11 **Action**: Click ***OK***. If all the required documents have not been uploaded before submitting the Package the following pop-up will be displayed.

Figure 116: Create Package - Transaction Inquiry Package: Required Documents Error Message



12 **Action:** If the required documents error message is received, click ***OK***, add the required documents, and submit the Package again.

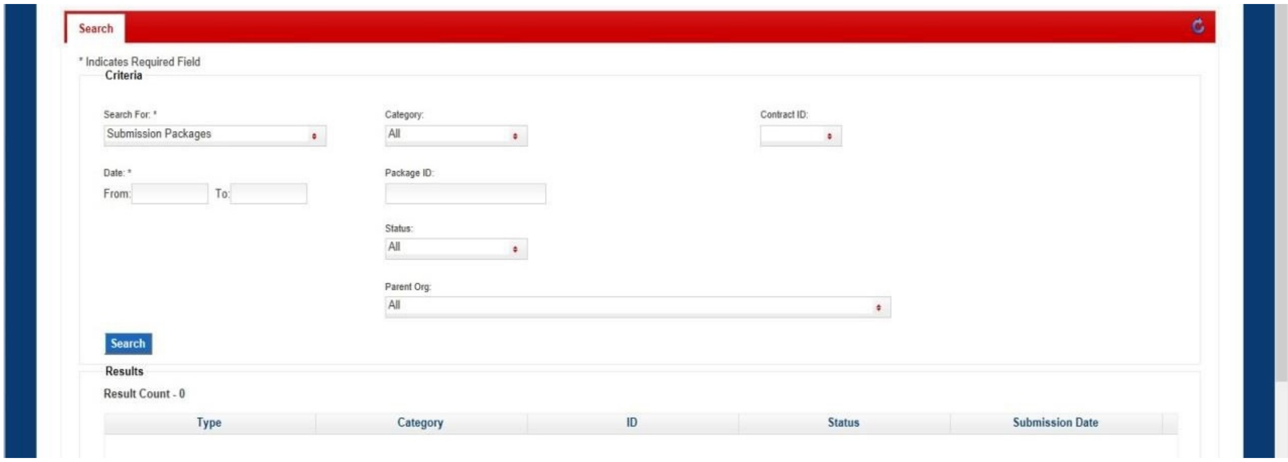
Note: An Enrollment Data Validation Review package should not be responded by creating a Submission Package. Please refer to Section 4.3.11.3 to respond to an Enrollment Data Validation Review package.

4.3.3 Search Package

On the "Search" page, you can search for the different Packages, Documents/Reports and Letters. Please refer to the following screen of the "Search" page. The required fields on the "Search" page are marked with an asterisk (*).

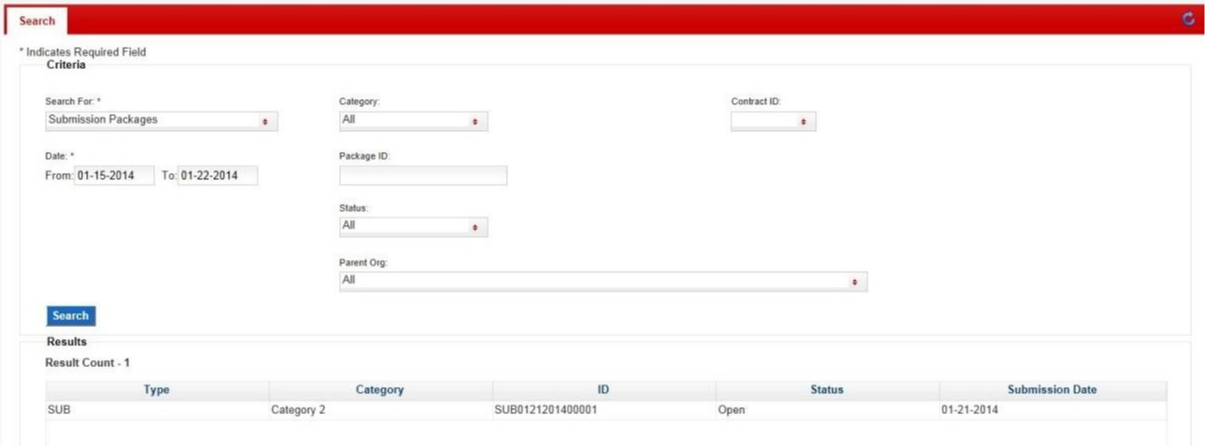
1. **Action**: Login to the eRPT application.
2. **Action**: Click ***Search*** from the top right corner of the screen.
3. **Action**: Select one or more of the following options for the "Search Criteria":
   a. **Search For** – This is a drop-down field with the following values. For example, let us select ***Submission Packages*** from the drop-down list.
   b. **Date**:
      i. **From** – Enter the beginning date for search.
      ii. **To** – Enter the end date for search.
   c. **Package ID** – You can provide the Package ID if you know it. For this example, leave it blank.
   d. **Category** – This is a drop-down field with the following values. For example, let us select ***Category 2*** from the drop-down list.
   e. **Status** – This is a drop-down field with the following values. For this example, let us select ***Draft*** from the drop-down list.
   f. **Parent Organization** – Select ***All*** from the drop-down.
   g. **Contract ID** – This is a drop-down field with the list of contracts associated to the user. Select a contract from this drop-down list if you want to restrict your search to a specific contract.

Figure 117: Search Package



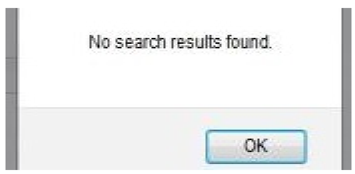
4. **Action**: Click ***Search***. If there are any matching results the values will be displayed in the results grid. Please note that the eRPT Plan User will only see Packages the user has access to, in the results grid.

Figure 118: Search Package - Results



5. Section 4.3.4 discusses how to view a Package retrieved in a Search.
6. If the search does not have any results to display a pop-up will be displayed.

Figure 119: Search Package – No Results



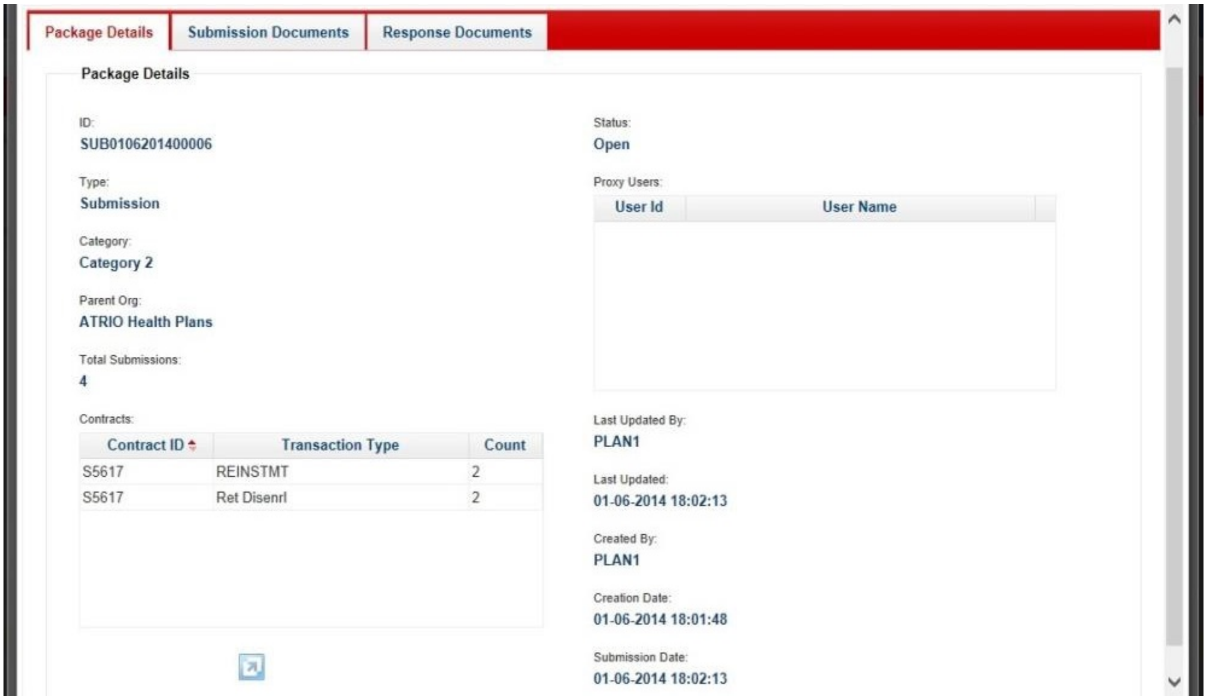
7. **Action**: Click ***OK*** and perform a new search.

4.3.4 View a Package

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

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

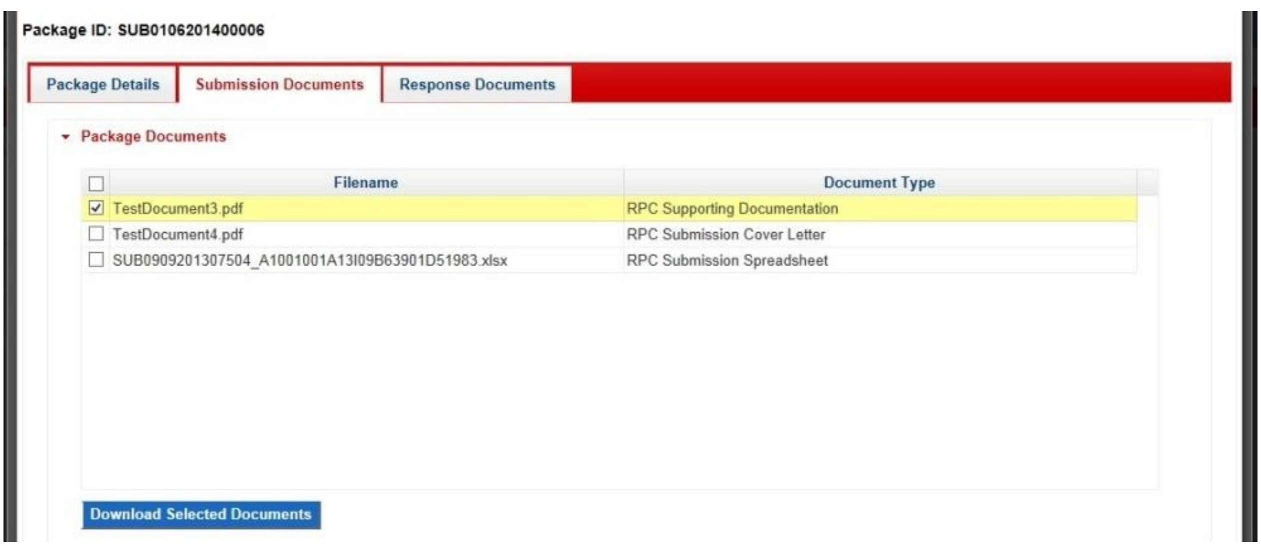
Figure 120: View Package



4 **Action**: Click the ***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.

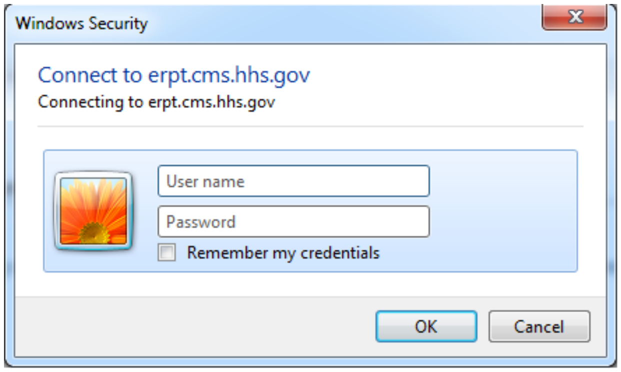
Figure 121: View Package: Submission Documents



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

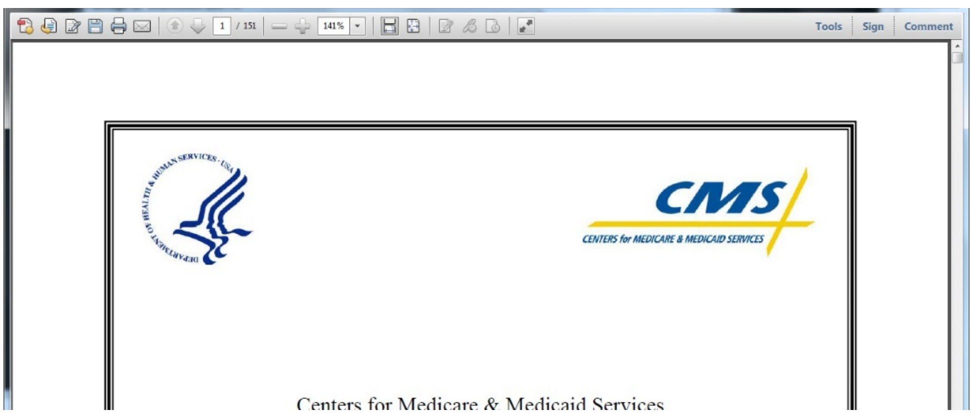
6 **Action**: Double-click the document row of the document you want to view. If the Windows Security pop-up is seen, click ***Cancel***.

Figure 122: View Package – Windows Security



7 The document will open.

Figure 123: View Package – Actual Document

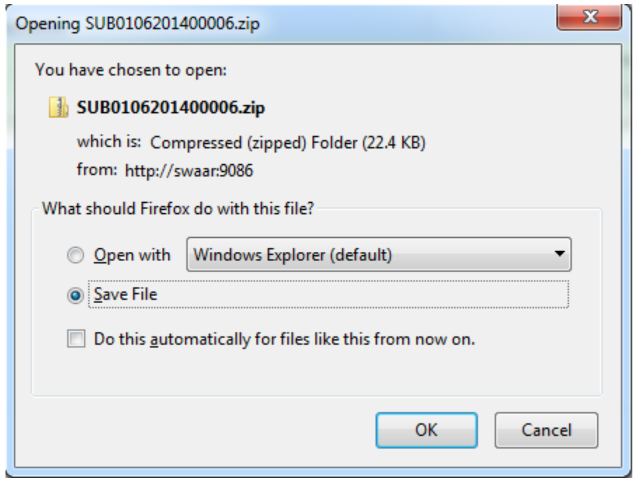


8 To download documents, select the check box of each and click **Download Selected Documents**.

Figure 124: View Package – Selecting Documents to Download

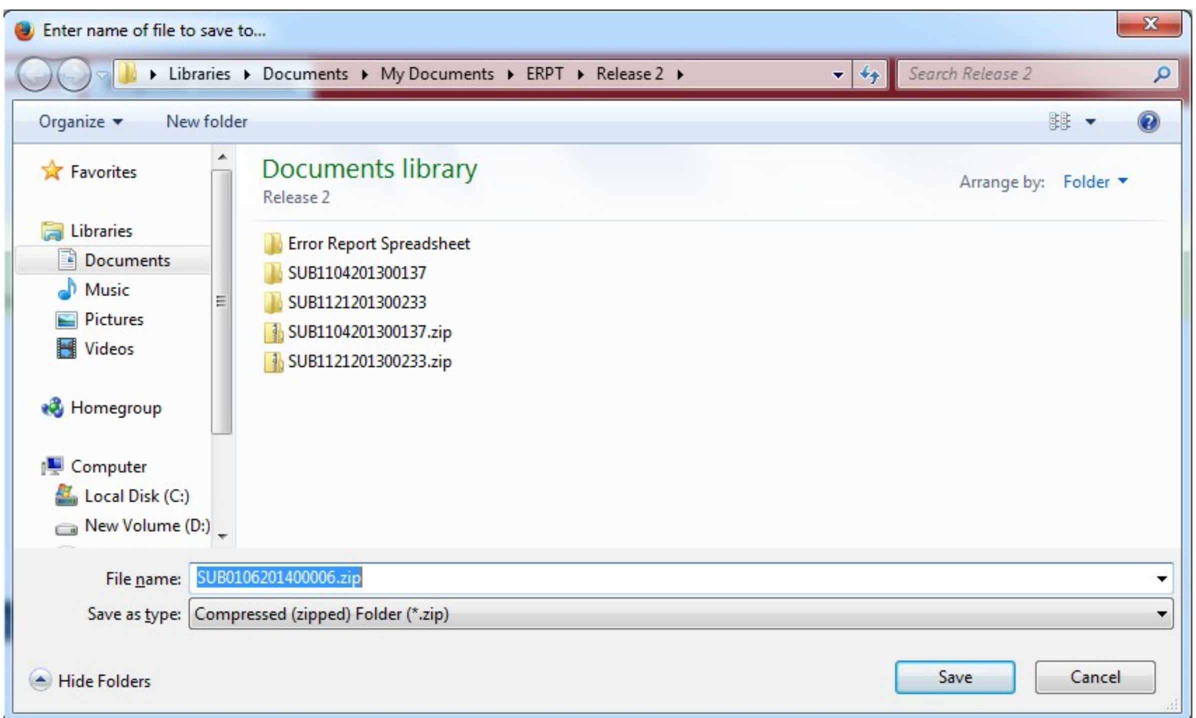
9 A pop-up window will display to ***Open with*** or ***Save File***.

Figure 125: View Package – Download Selected Document



10 Action: Ensure the ***Save File*** radio button is selected and Click **OK**. Select the location to save the files.

Figure 126: View Package – Select Location to Download Files

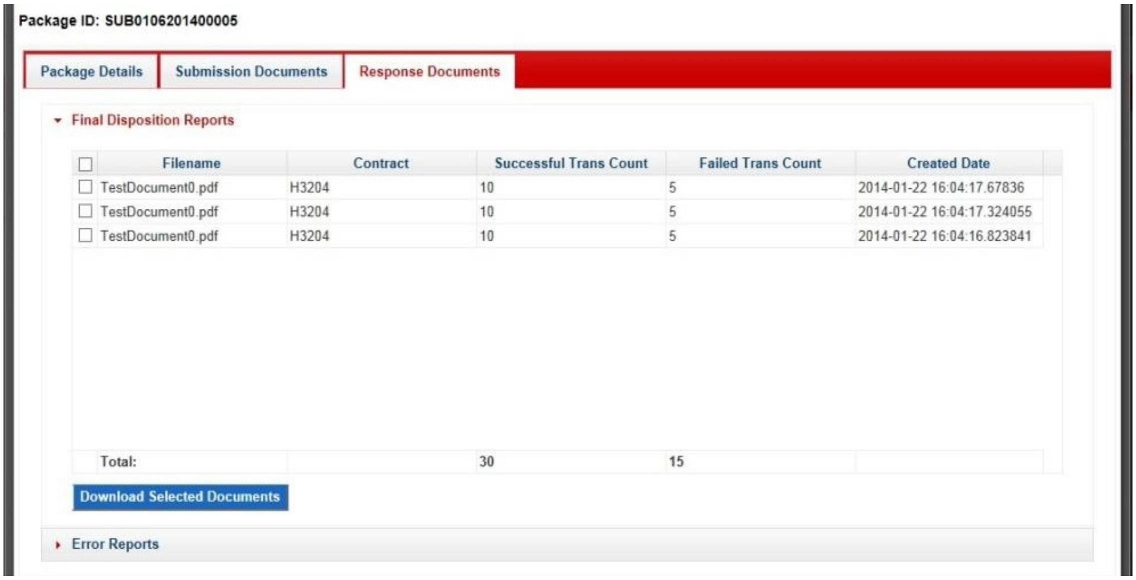


11 **Action**: Ensure the location is correct and click ***Save***. The documents will be saved on the local computer.

12 **Action**: Click the ***Response Documents*** tab to view all Response Documents submitted by the RPC contractor.

Note: Response documents are not be available if the status is marked Draft, Pending RO Approval, or Open. Additionally, Response documents are only visible to users with access to those documents.

Figure 127: View Package – View Response Documents

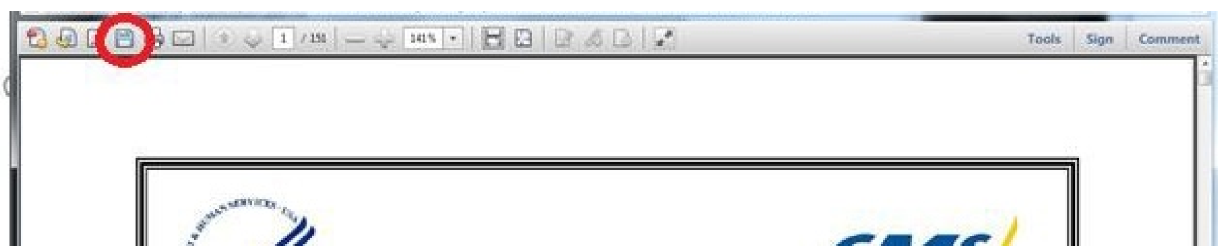


13 **Action**: To view the documents, click ***Final Disposition Reports*** or ***Error Reports*** to expand the selection to the list of documents.

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

14 **Action**: Double-click the document row to view. The open document can be saved to your local computer by clicking the Save icon.

Figure 128: View Package – Download Response Documents



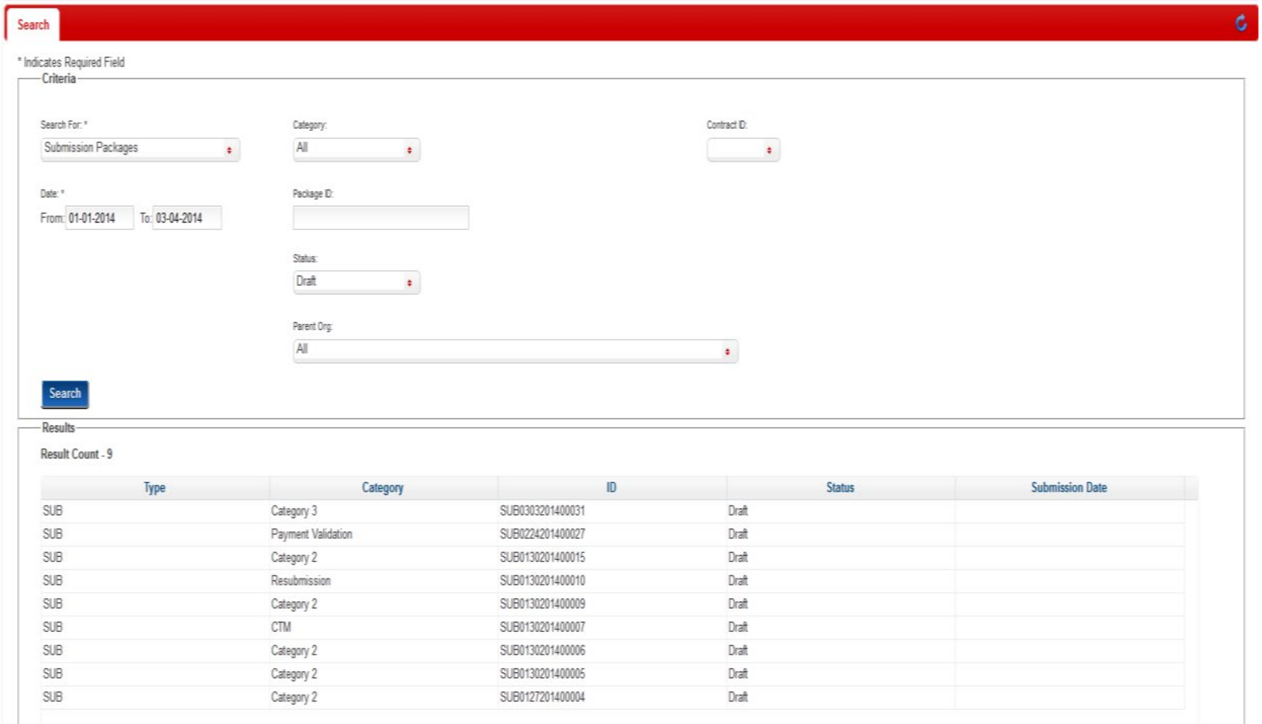
15 **Action**: to save multiple documents locally, repeat steps 8 to 11.

4.3.5 Update a Package

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

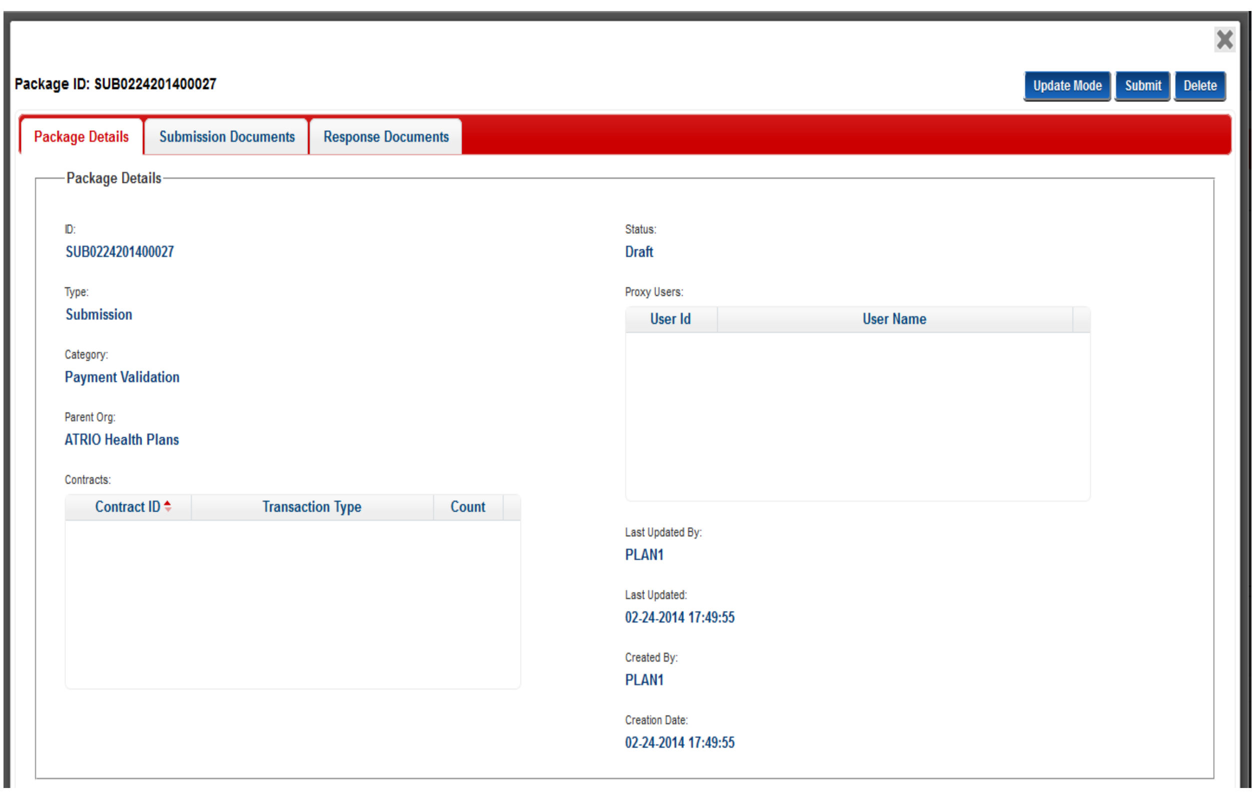
1. **Action**: Login to the eRPT application.
2. **Action**: Click ***Search***.
3. Action: Enter the search criteria shown in Section 4.3.3 to retrieve the Package. Click ***Search***. The results display in the result grid.

Figure 129: Update Package – Search



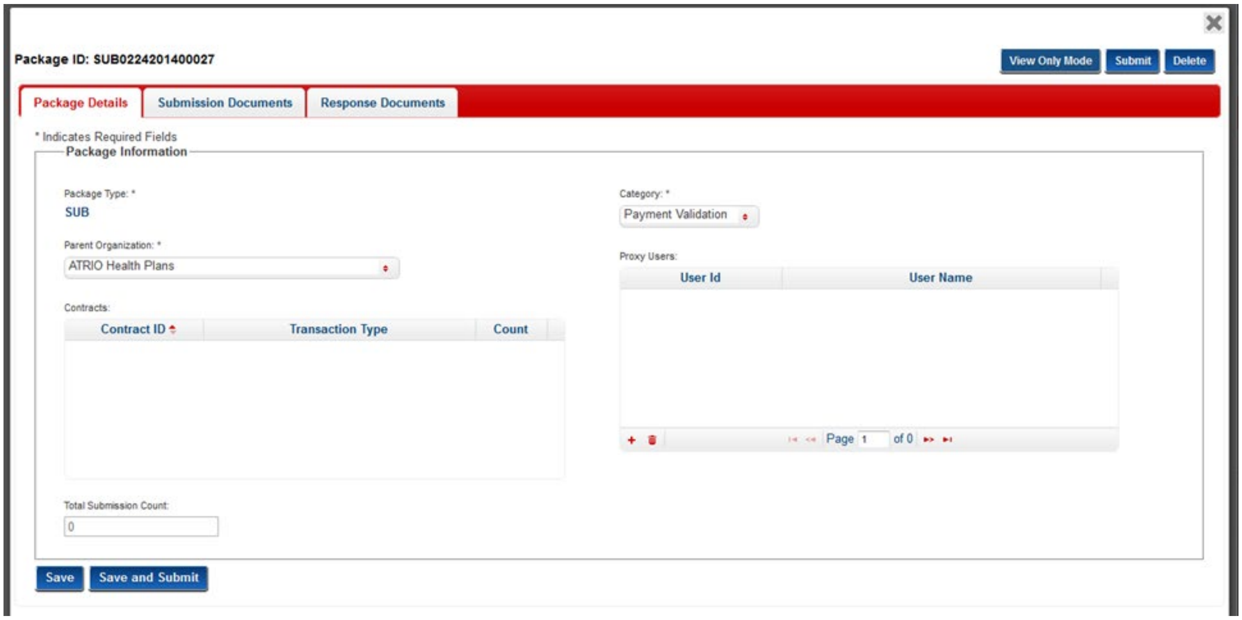
4. **Action**: Double-click the Package you want to update.

Figure 130: Update Package – Switch to Update Mode



5. **Action**: Click **Update Mode** from the top right corner of the Package screen.

Figure 131: Update Package – Update Mode

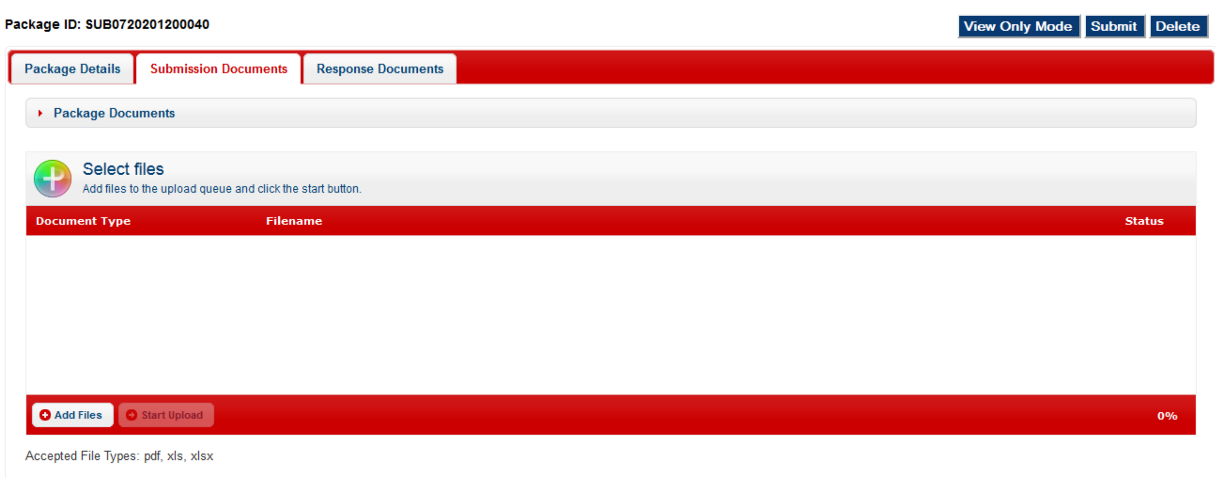


6. **Action**: Click the Package Details tab to update the attributes.
7. **Action**: Click ***Save***.

Note: After updating the attributes, the Package must be saved. Do not exit without saving.

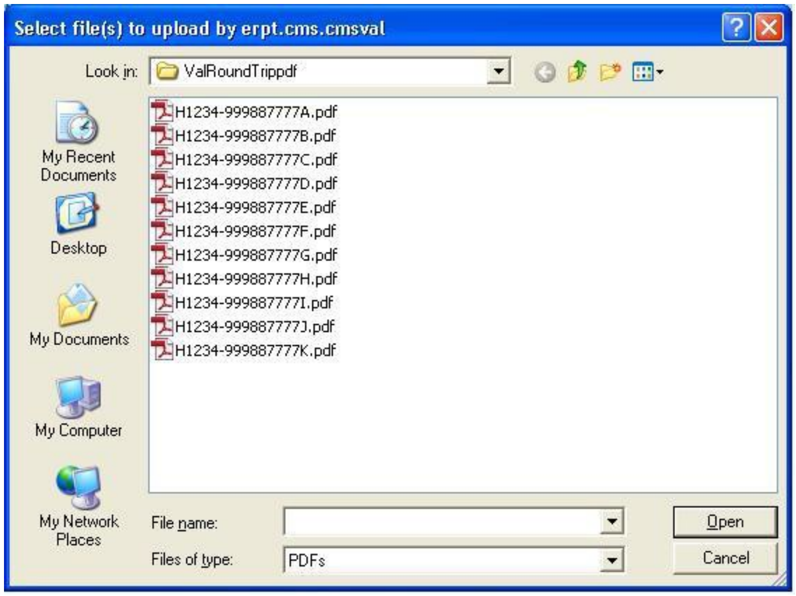
8. **Action**: Add additional documents through the **Submission Documents** tab.

Figure 132: Update Package – Select Submission Documents



9. **Action**: Select **Add Files** and a pop-up window will be displayed.

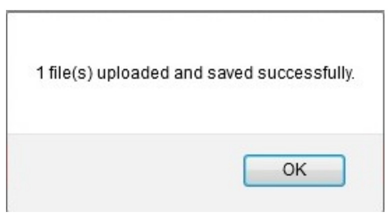
Figure 133: Update Package – Select Files



10. **Action**: Select the files you want to add to the Package and click ***Save***. The selected document will display in the user interface.
11. **Action**: Select the appropriate **Document Type** value from the drop-down and select click **Start Upload**. The user interface will display the successful upload message.

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

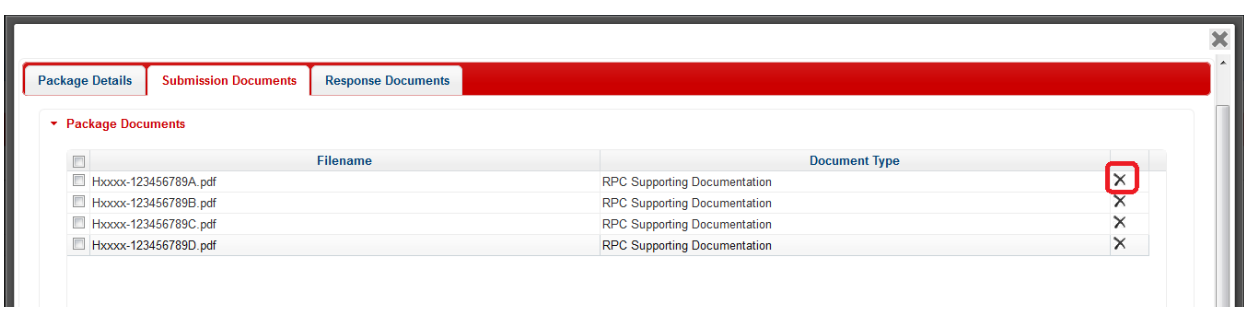
Figure 134: Update Package – Select Files Successful Upload



Note: Acceptable file types for uploading are PDF, XLS, and XLSX. The eRPT does not accept the XLSM format (refer to Section 4.5 for instructions to convert XLSM to an acceptable format).

12. To delete documents uploaded to the Package:
    a. **Action**: Click the ***Package Documents*** tab, view the list of documents, and click the delete icon next to the document to delete.

Figure 135: Update Package – Select Multiple Files



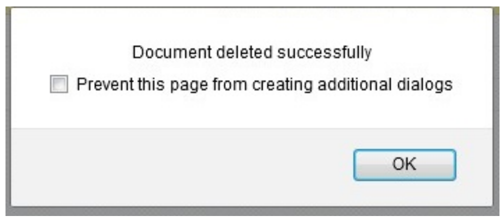
b. The delete verification pop-up will display.

Figure 136: Update Package – Select Files Delete Verification

c. **Action**: Click ***OK***. The delete confirmation pop-up will display.

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

Figure 137: Update Package – Select Files Delete Confirmation

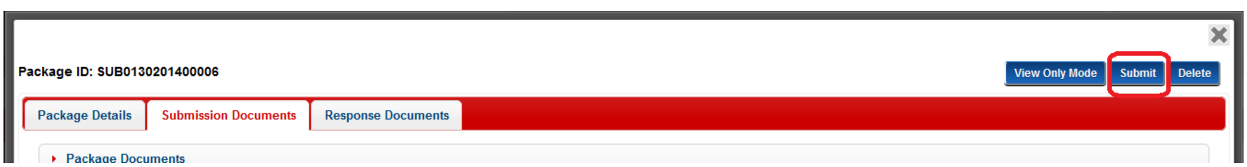


d. **Action**: Click ***OK***. The document will disappear from the Submission Documents, Package Documents list.

Note: After making the required updates, the user can submit the Package, close the Package screen, switch to View Mode, or delete the Package.

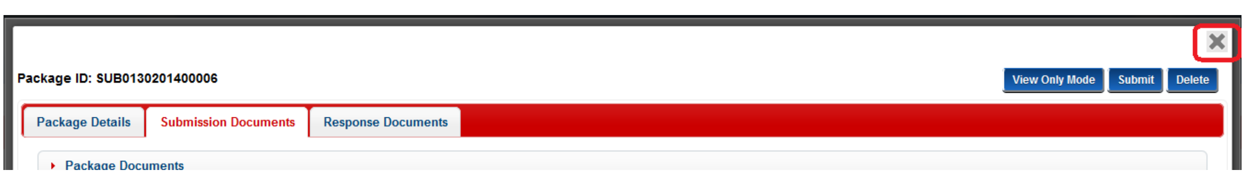
13. **Action**: To submit the Package, click **Submit** from the top right corner of the Package screen.

Figure 138: Update Package – Submit Package



14. **Action**: To close the Package screen, click the close icon, the ***X***, from the top right of the screen. You can also choose to click outside of the Package screen and the Package will be closed.

Figure 139: Update Package – Close the Package Screen



Note: If the Package screen is closed before the selected documents have been uploaded, the documents will not be saved for the Package. Complete the upload before closing or submitting the Package.

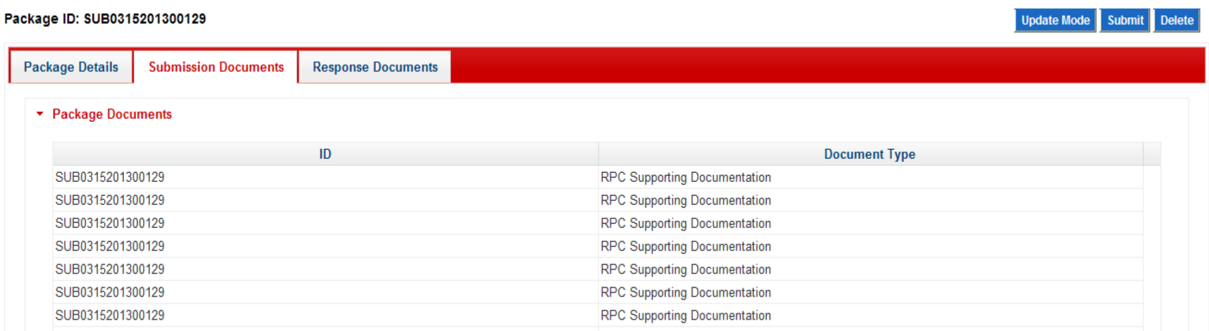
15. **Action**: Click **View Only Mode** from the top right of the screen to switch to that view.

4.3.6 Delete Uploaded Supporting Documentation from a Draft Package

Note: Documents can be only be deleted from Packages in “Draft” status. In the eRPT application, when documents uploaded to a draft Package are deleted, the action is permanent and the document cannot be retrieved. **Only** the Package Creator can delete these documents.

1. **Action**: Login to the eRPT application.
2. **Action**: Click **Search**.
3. **Action**: Enter search criteria as shown in Section 4.3.3 to retrieve the Package.
4. **Action**: Click ***Search***, open the Package that you want to delete by double-clicking the Package, click the ***Submission Documents*** tab, and expand the **Package Documents**.

Figure 140: Delete Uploaded Documents on a Draft Package – Submission Documents Screen



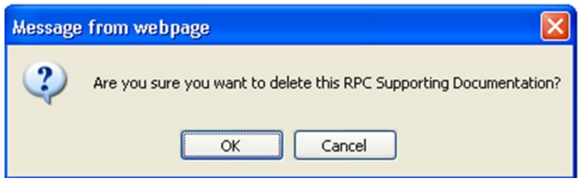
5. **Action**: Click ***Update Mode*** from the top right corner of the screen. You may need to click the down arrow next to the Package Documents to expand the selection again.

Note: Depending on the speed of the internet users may see a download icon.

Figure 141: Delete Uploaded Documents on a Draft Package – Delete Documents

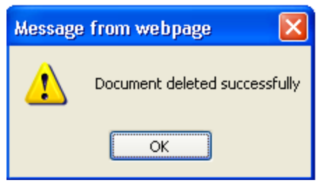
6. **Action**: Click the delete icon, the ***X***, next to the item to be deleted. The delete verification pop-up will display.

Figure 142: Delete Uploaded Documents on a Draft Package – Delete Verification



7. **Action**: Click ***OK***. The delete confirmation pop-up will display.

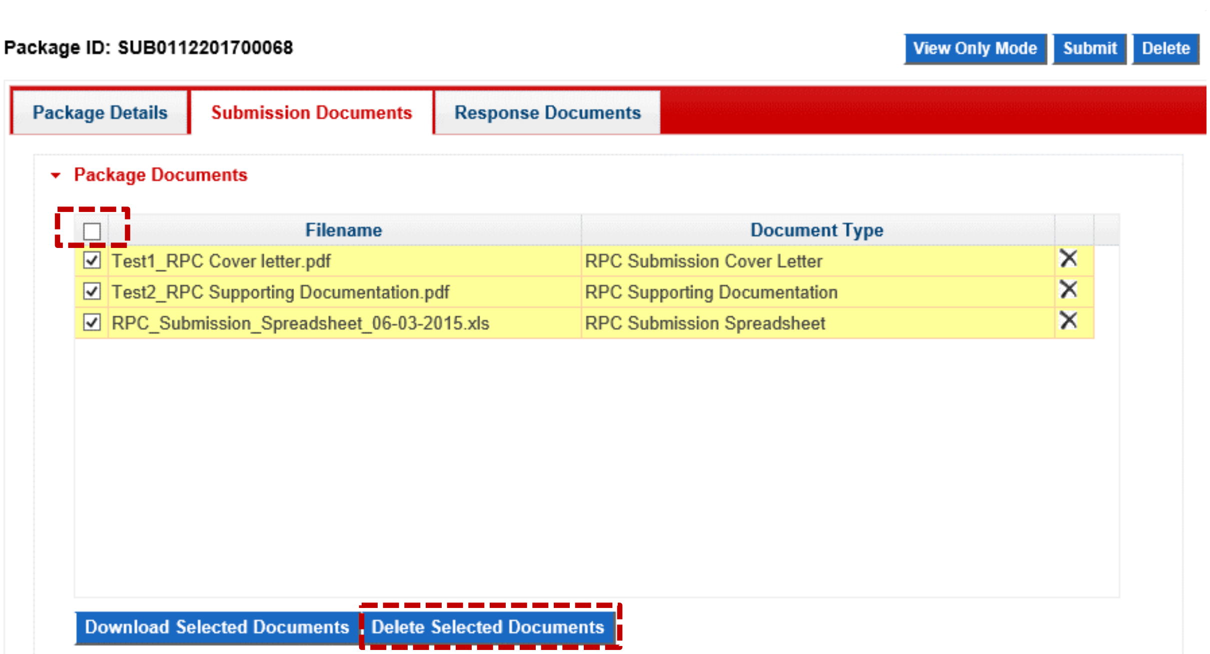
Figure 143: Delete Uploaded Documents on a Draft Package – Delete Confirmation



8. **Action**: Click ***OK***. The document will be permanently deleted from the eRPT application and disappear from the Submission Documents, Package Documents list.
9. If you want to delete more than one (1) submission documents simultaneously, you can use the ***Delete Selected Documents*** button to delete all such documents.
   a) **Action:** Select the documents you want to delete from the “Submission Documents” tab, as shown below.

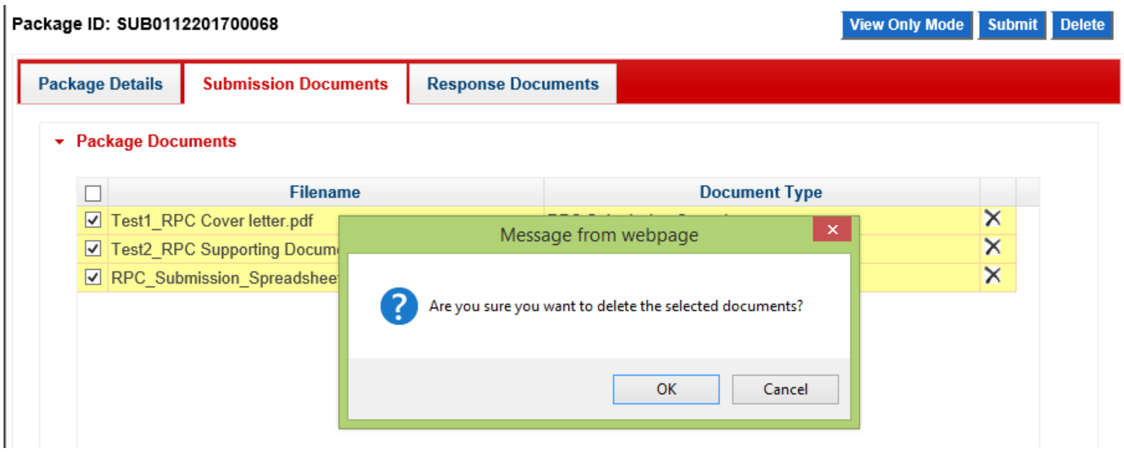
      Note: If there were several documents that were uploaded to the draft package and you want to delete all of them, click the check box at the top header row to select and delete all such documents. Refer to Figure 144.

Figure 144: Delete Uploaded Documents on a Draft Package – Select Documents to Delete



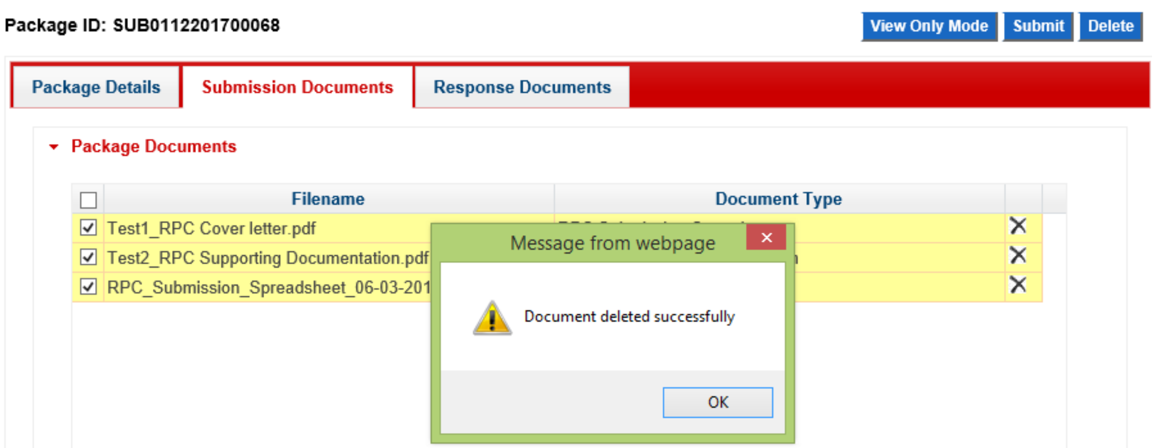
   b) **Action:** Click ***Delete Selected Documents***.

Figure 145: Delete Uploaded Documents on a Draft Package – Delete Selected Documents



c) **Action:** Click ***OK*** on the message window box above. Click ***Cancel*** if you have changed your mind in not deleting the documents.

Figure 146: Delete Uploaded Documents on a Draft Package – Document Deletion Success



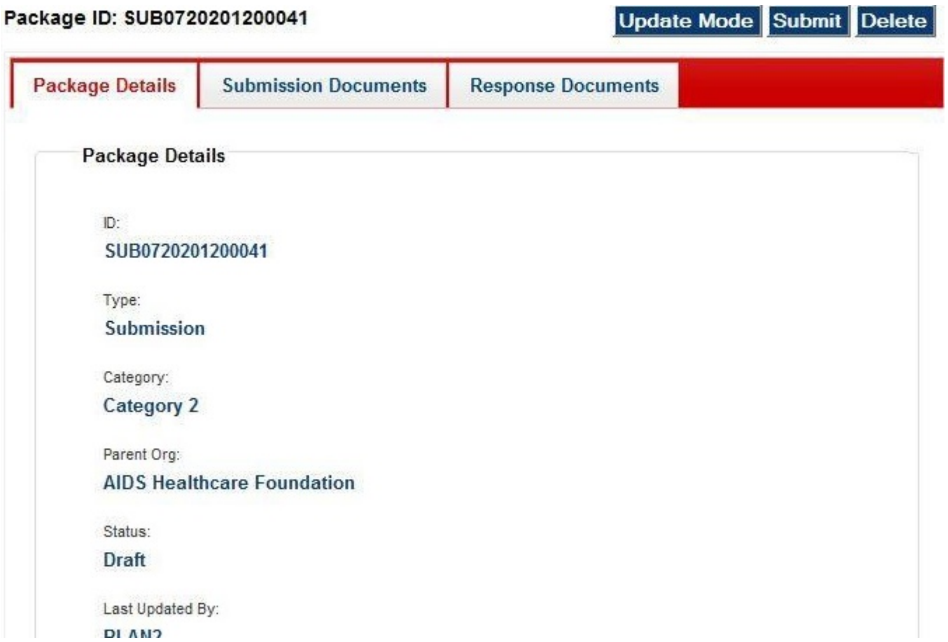
10. **Action:** Click ***OK***. The document will be permanently deleted from the eRPT application and disappear from the Submission Documents, Package Documents list.

4.3.7 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 **only** be deleted by the Package Creator.

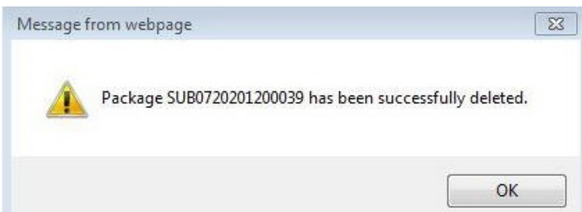
1. **Action**: Login to the eRPT application.
2. **Action**: Click **Search**.
3. **Action**: Enter search criteria as shown in Section 4.3.3 to retrieve the Package.
4. **Action**: Click **Search**. Open the Package you want to delete by double-clicking it.

Figure 147: Delete a Draft Package



5. **Action**: Click **Delete** from the top right hand corner of the screen. The successful package delete message will be displayed.

Figure 148: Delete a Draft Package – Delete Success Message



6. **Action**: Click ***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 eRPT Plan Users but is awaiting Approval Letter from CMS RO Account Manager or CMS CO. 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 the eRPT Plan User to respond.
- **Completed** – When a EDV review Package is submitted by the eRPT 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.

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

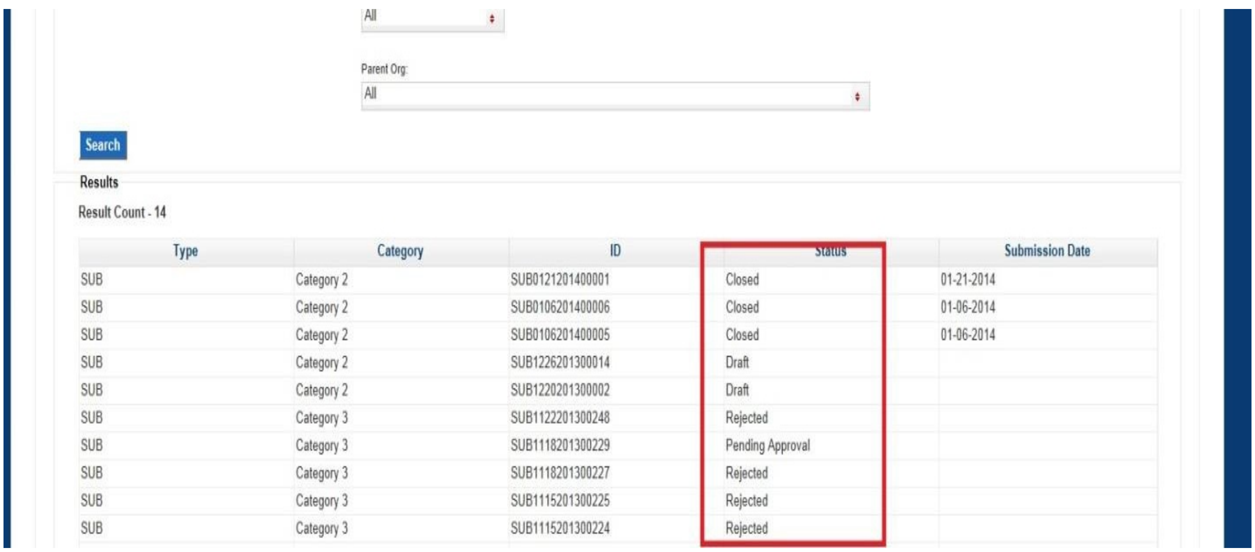
To view the Package Status:

1. **Action**: Click **Search** from the top right of the screen.
2. **Action**: Select Search Criteria:
    a. **Search For** – Select Submission Package from the drop-down.
    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 drop-down.
    f. **Parent Organization** – Select ***All*** from the drop-down.

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

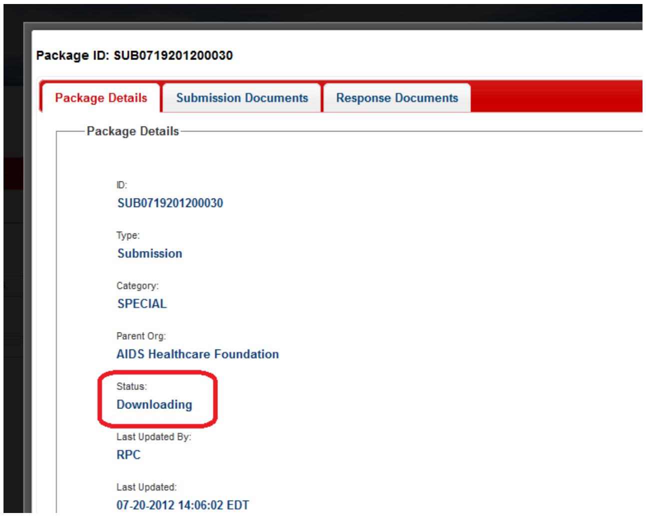
3. **Action**: Click **Search**. The user will view the status of a Package in the Results grid.

Figure 149: View Package Status



4. **Action**: Double-click a Package to view the ***Package Details***. The ***Status*** field confirms the Package is in ***Downloading*** status.

Figure 150: View Package Status – Package Details



4.3.9 View Response Documents Added by the RPC

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

- 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. The 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} indicates the Package ID.

In addition to the above response documents, the RPC will also add the 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 eRPT Plan User will receive the following message for follow-on FDR:

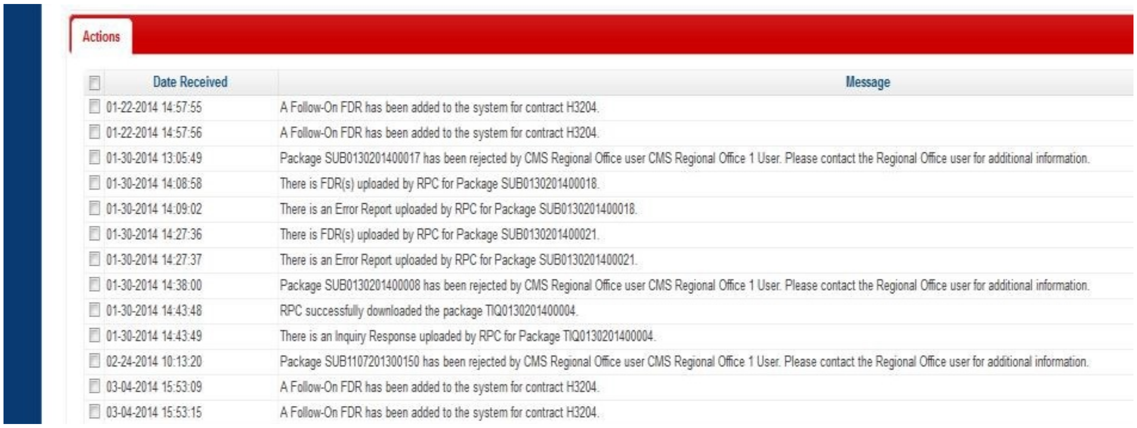
- A Follow-On FDR has been added to the system for contract {0}.

Note: {0} indicates the Contract ID.

To view response documents added by RPC via the action list:

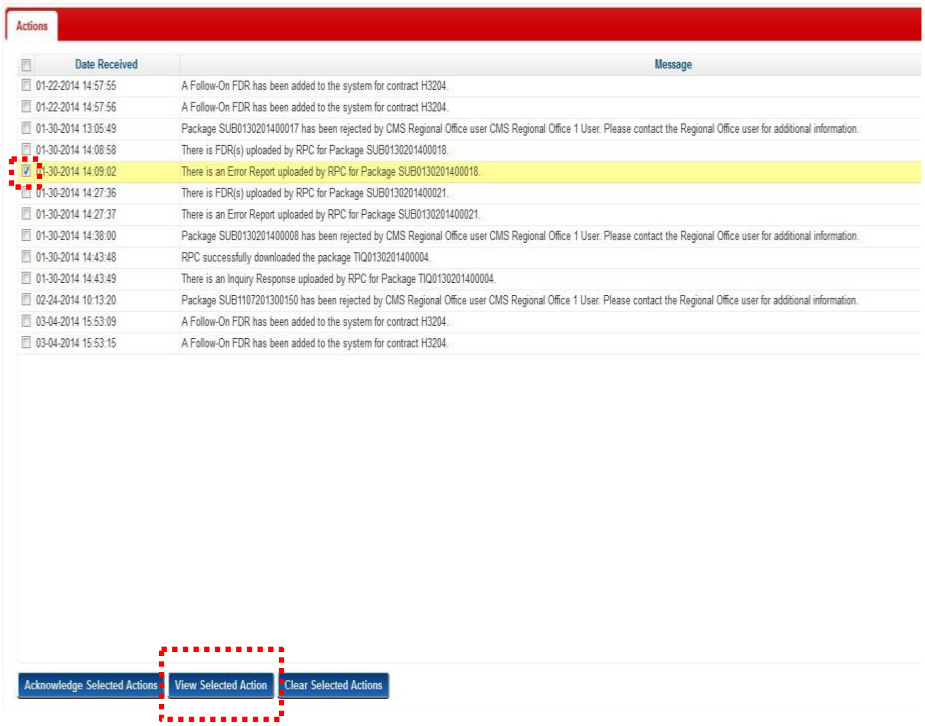
1. **Action**: Login to the eRPT application.
2. The Actions tab will be the landing page for the users and will display the lists of actions for the user.

Figure 151: View Response Documents Through Actions



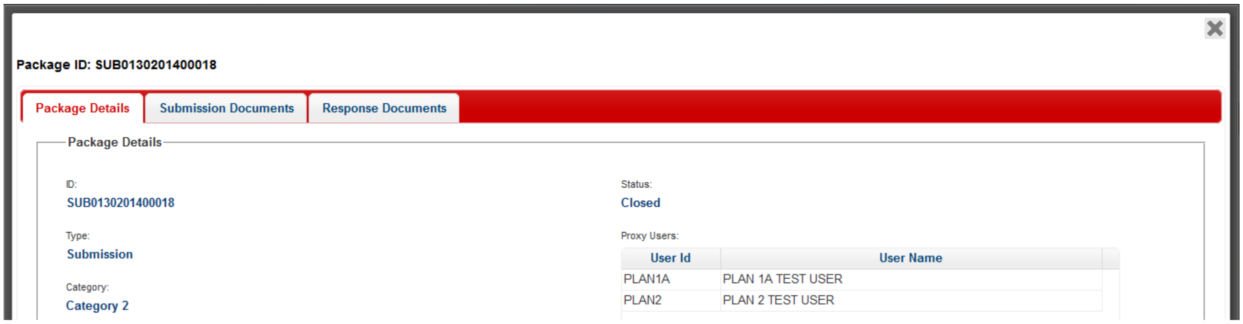
3. **Action**: To view the document select the checkbox next to that Action. For this example, select the Error Report. Click ***View Selected Action***.

Figure 152: View Response Documents Through Actions: Select



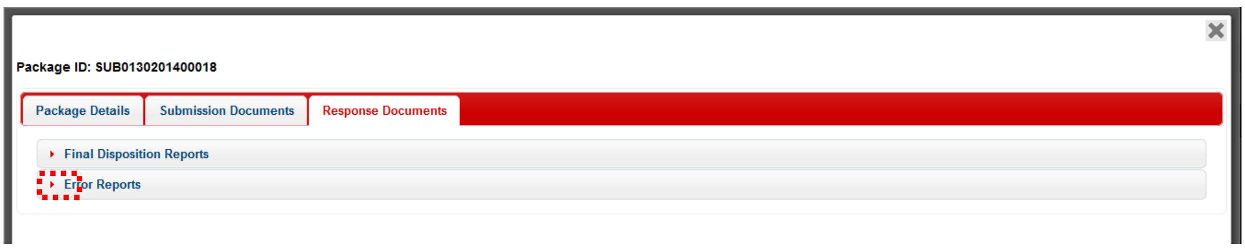
Note: Here if the document is not added on the package for example Follow-On FDR, then the document will be displayed to the user.

Figure 153: View Response Documents – View Response Documents Tab



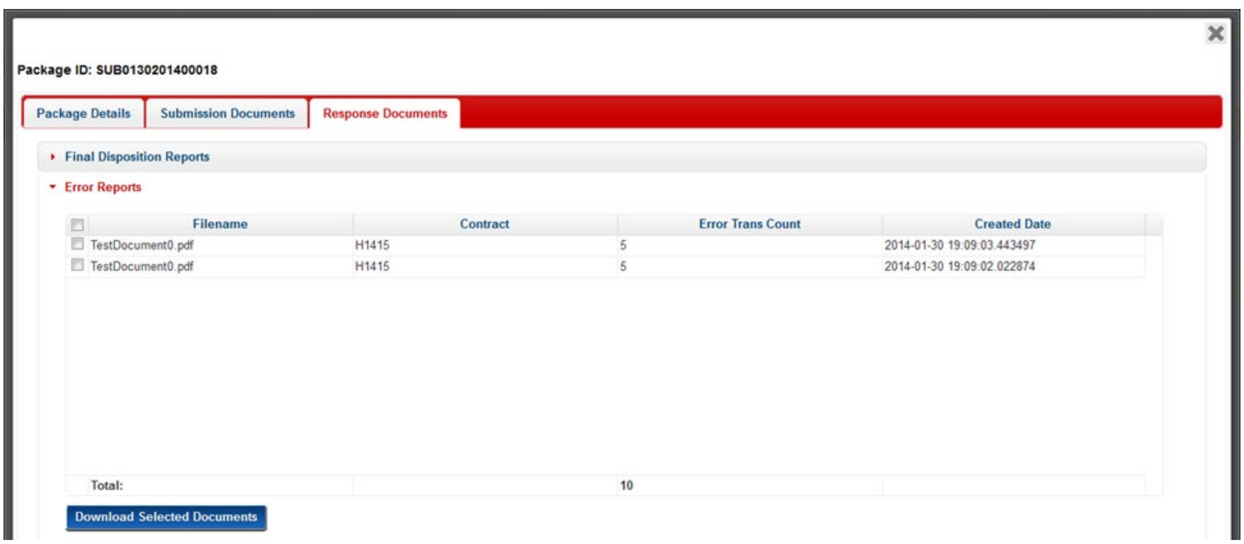
4. **Action**: Click the ***Response Documents*** tab to view the documents added by RPC.
5. **Action**: Expand the ***Error Reports*** to view the list of documents.

Figure 154: View Response Documents – Expand Lists



The user will be able to view all the error report documents added by the RPC.

Figure 155: View Response Documents – List of Error Reports



6. **Action**: To open and view the documents double-click on the document to view it. Once open, you can download the document to the local computer by clicking the Save icon.

4.3.10 Search and View Response Documents

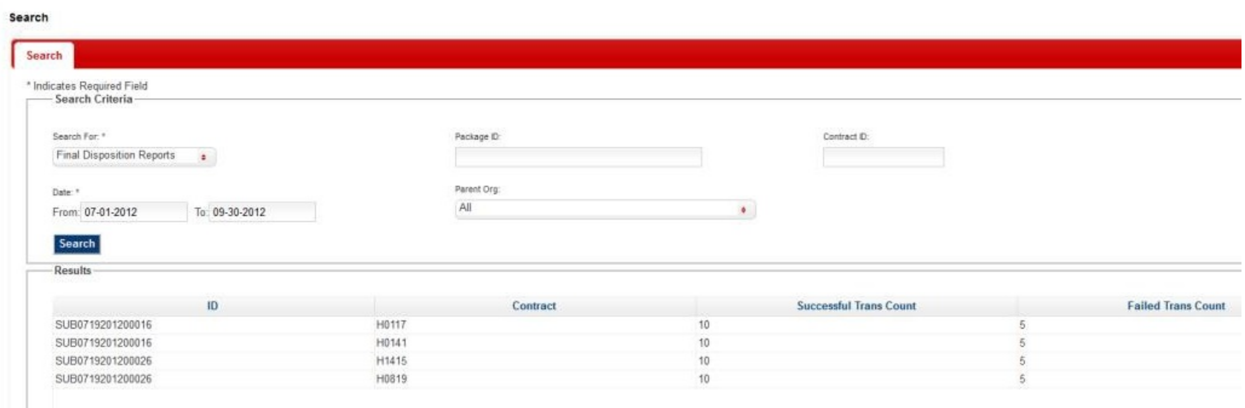
The Search feature in the eRPT application can also be used for searching the following types of documents:

- FDRs
- Follow-on FDRs
- Error Reports
- Letters

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

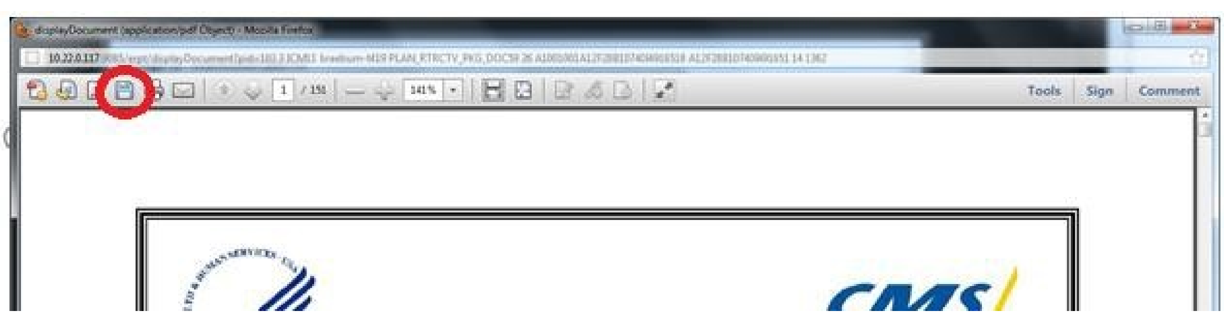
1. **Action**: Login to the eRPT application.
2. **Action**: Click **Search**.
3. **Action**: Enter the search criteria to retrieve the response documents:
    a. **Search For** – Select ***Final Disposition Reports*** from the drop-down.
    b. **Date**:
        i. **From** – Enter the beginning date for search.
        ii. **To** – Enter the end date for search.
    c. **Package ID** – For this example, leave it blank.
    d. **Parent Organization** – Select ***All*** from the drop-down.
    e. **Contract ID** – For this example, leave it blank.
4. **Action**: Click ***Search***. The results meeting the criteria will be displayed in the ***Results*** grid.

Figure 156: Search and View Response Documents



5. **Action**: Double-click the document in the result grid to view it. The document will open. Download the document to the local computer by clicking the Save icon.

Figure 157: Search and View Response Documents – Download Open Document



4.3.11 Add Response Documents to a Review Package

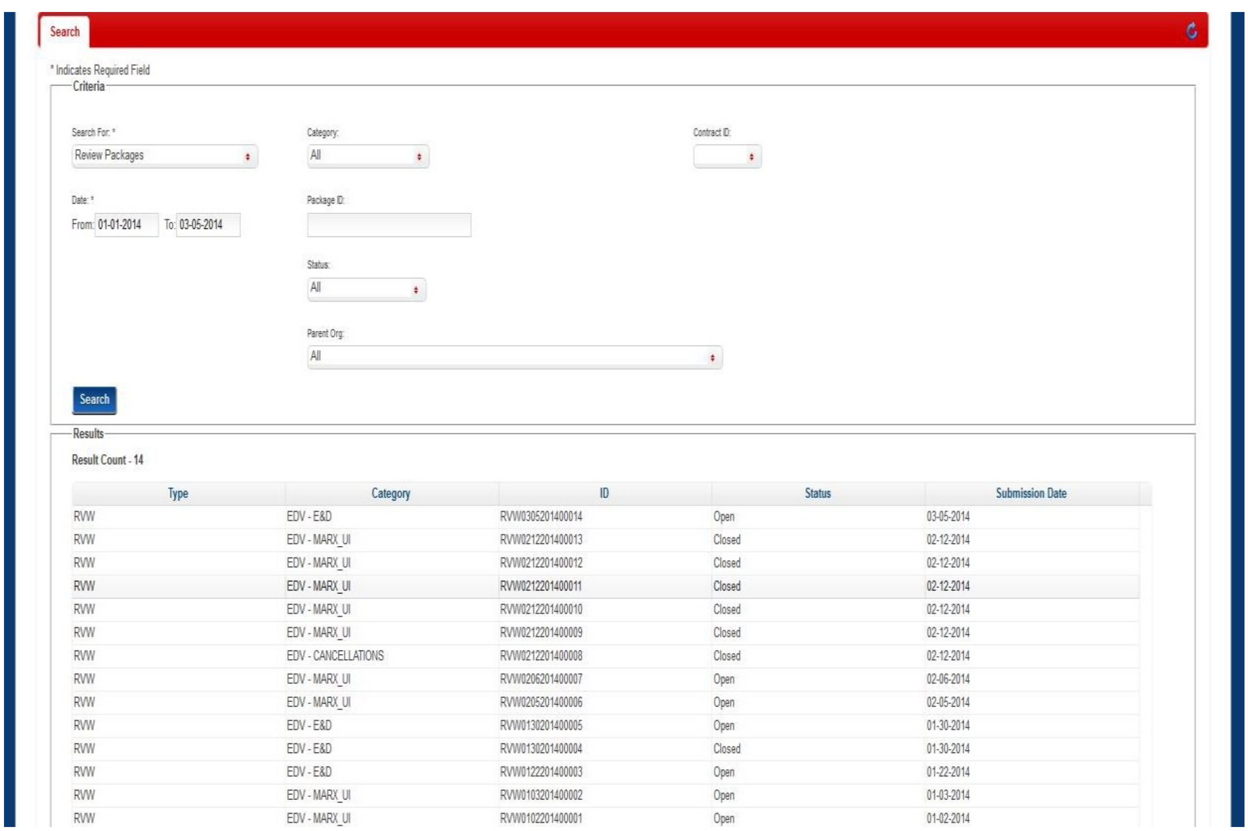
Responses to Review Packages include Plan documentation supporting EDV Review Requests or other Reviews designated by CMS. In the following section we will discuss how an eRPT Plan User can:

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

4.3.11.1 Search for Review Packages

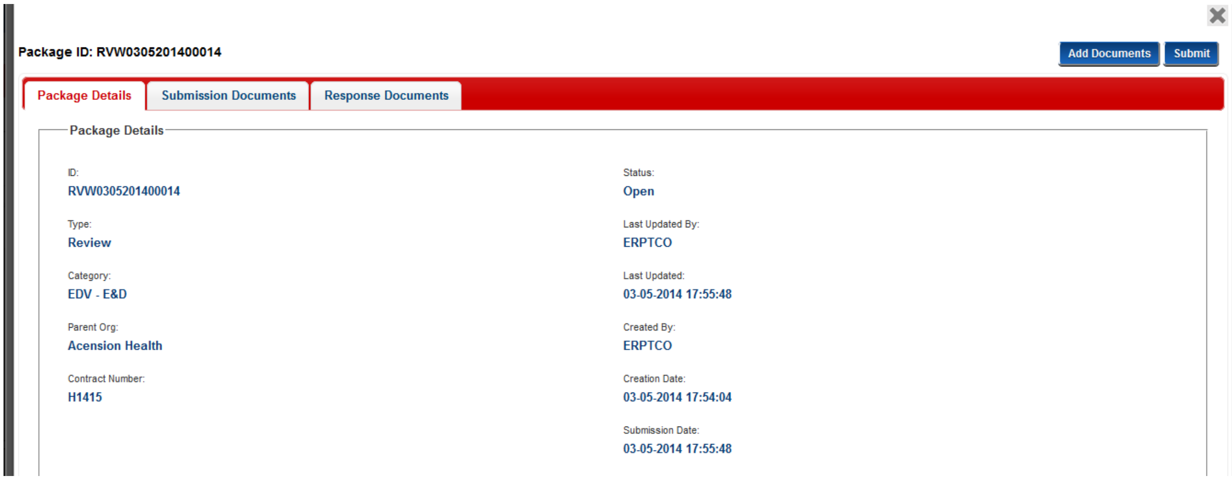
1. **Action**: Login to the eRPT application.
2. **Action**: Select Search on top right corner of the screen.
3. **Action**: Enter following search criteria to perform the search:
    a. **Search For** – Select ***Review Package*** from the drop-down.
    b. **Date** – Select the date range for the search. 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, available in the notifications.
    e. **Status** – Select ***Open*** from the drop-down.
    f. **Parent Org** – Lists all the Parent Organizations.
    g. **Contract ID** – An optional field. Enter the Contract ID.
4. **Action**: Click ***Search***. The results will be displayed in the ***Results*** grid.

Figure 158: Search Review Package



5. **Action**: Double-click the EDV Review Package in the search results to open the Package.

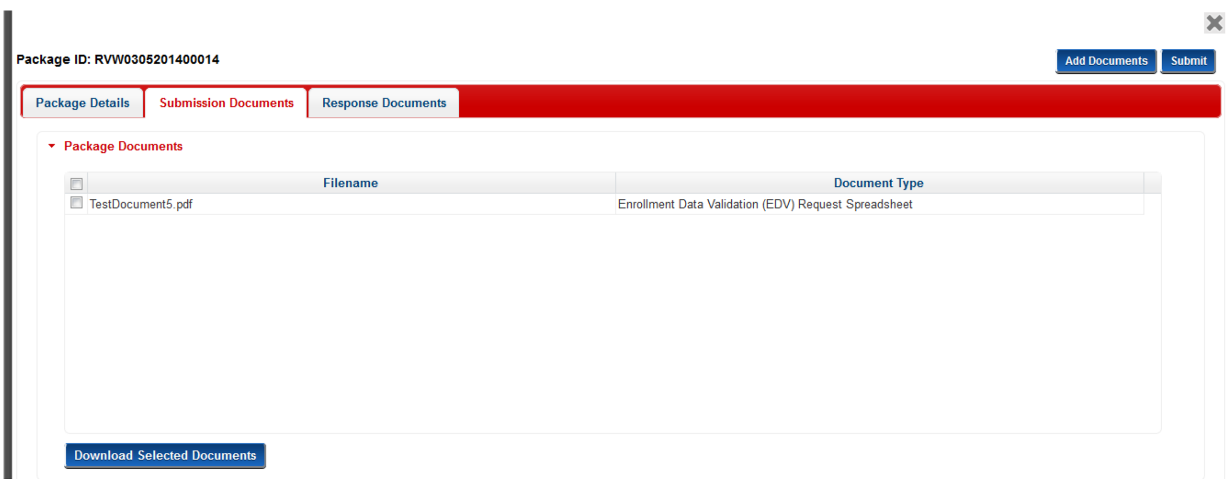
Figure 159: Search Review Package – EDV Review Package



6. **Action**: Click the ***Submission Documents*** tab. Expand the Package Document to view the documents submitted by the RPC.
7. Once the downloading action is completed the documents submitted by RPC will be displayed.

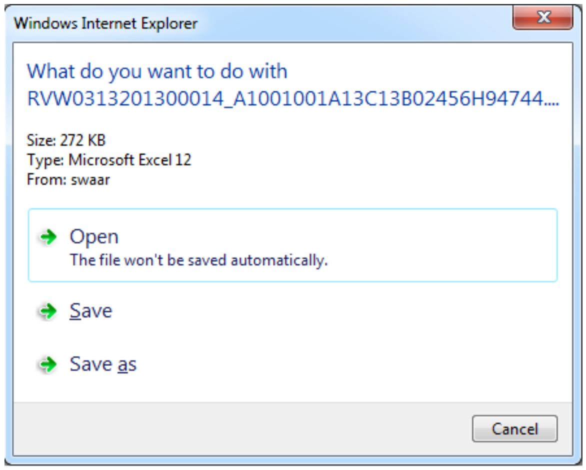
Note: Depending on the internet speed and size of the document users may see a downloading action. Please wait for the downloading action to be completed to view the documents.

Figure 160: Search Review Package – View Submission Documents



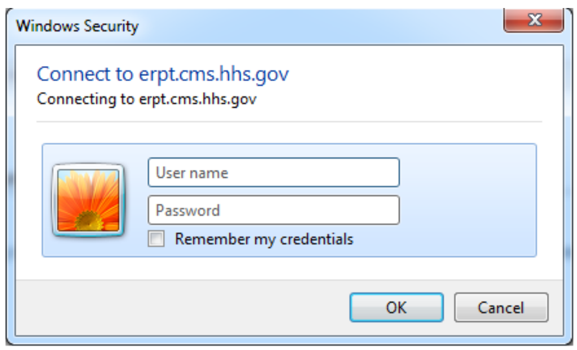
8. **Action**: Double-click a document to view it. Depending on the browser the user may see a Windows Internet Explorer pop-up window.

Figure 161: Search Review Package – Windows Internet Explorer Pop-Up



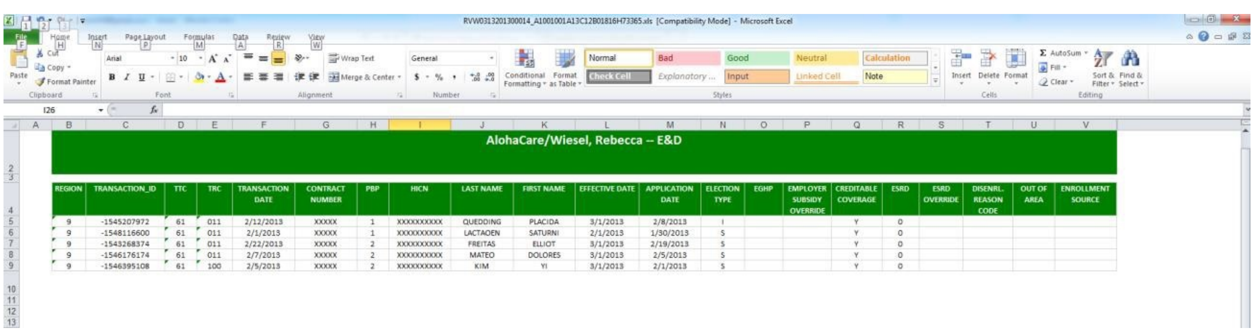
9. **Action**: Click ***Open***.

Figure 162: Search Review Package – Windows Security Pop-Up



10. **Action**: Depending on the browser the user may see the Windows Security pop up. Click **Cancel**.

Figure 163: Search Review Package – View Document

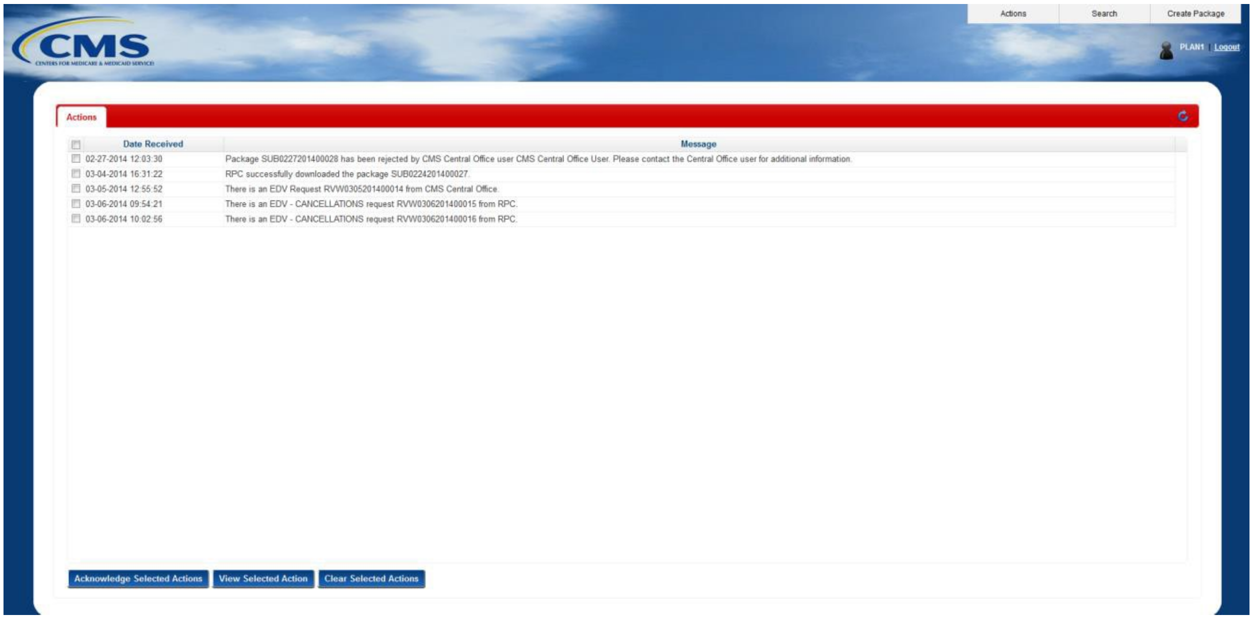


11. Download the document to the local computer using ***Save As***.

4.3.11.2 Access Review Packages via Notifications

1. **Action**: Login to the eRPT application.
2. Any Actions will be the landing page for a user with open Actions.

Figure 164: Access Review Package via Actions



3. **Action**: Select the checkbox of the notification you would like to view and click **View Selected Action**.

Figure 165: Access Review Package via Actions – Select and View

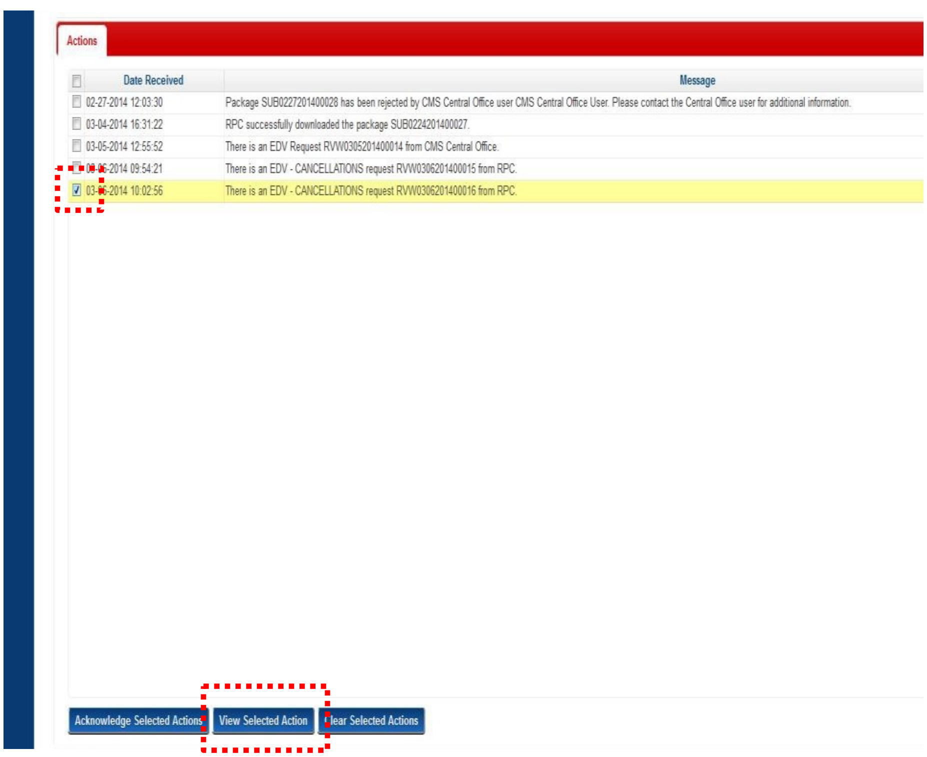
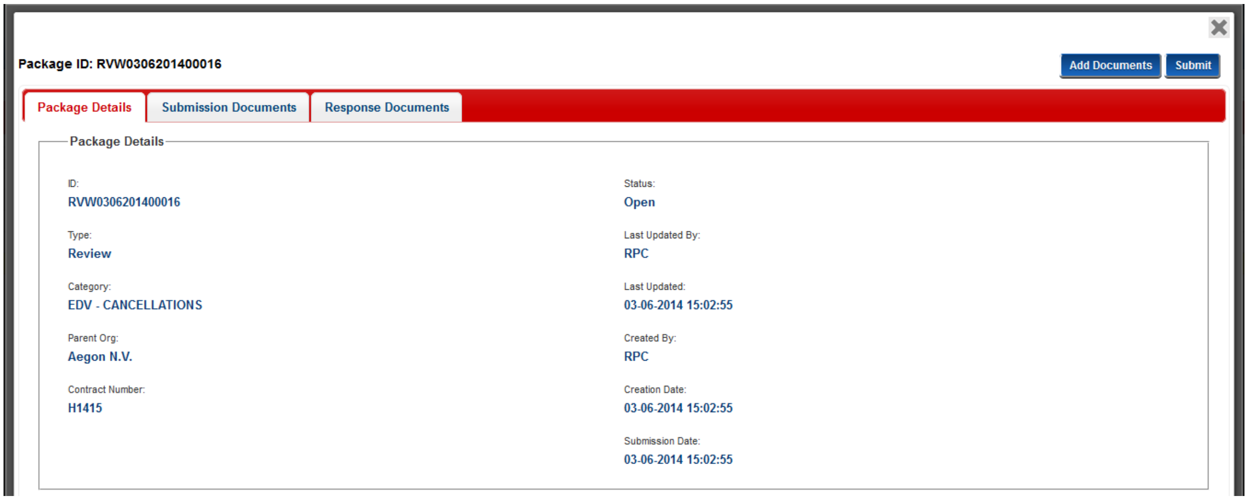
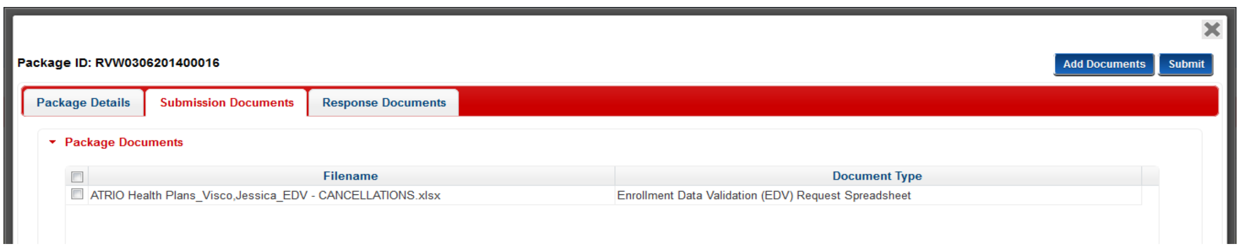


Figure 166: Access Review Package via Actions –View the Package



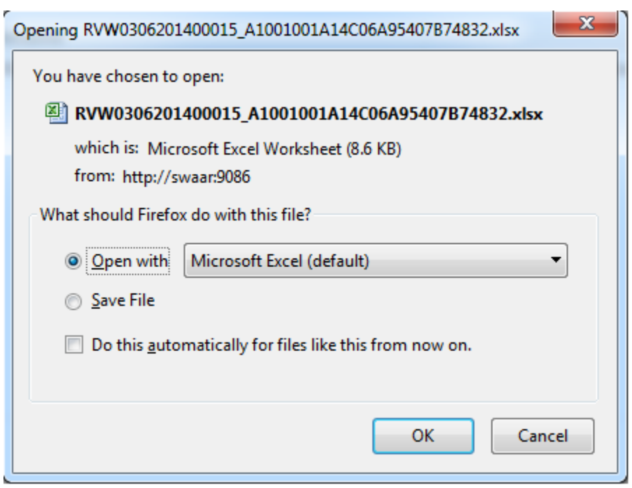
4. **Action**: Click the ***Submission Documents*** tab. Expand the Package Documents to view documents submitted by the RPC. Depending on the internet speed and size of the document, users may see a downloading action. Once the downloading action is complete, the documents submitted will be seen.

Figure 167: Access Review Package via Actions –View the Submission Documents



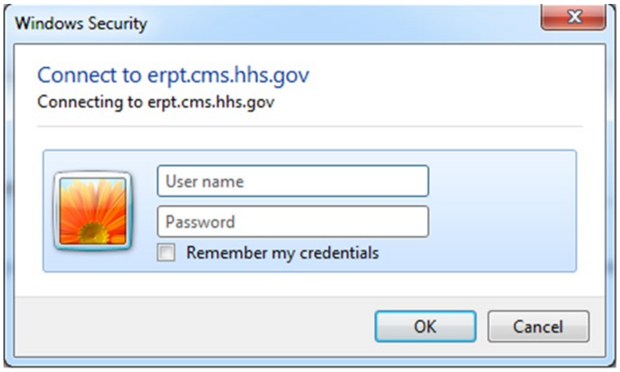
5. **Action**: Double-click a document to view it.
6. Depending on the browser a user may see a file open pop-up dialogue. If seen, click **Open**.

Figure 168: Access Review Package via Actions –File Open Dialogue



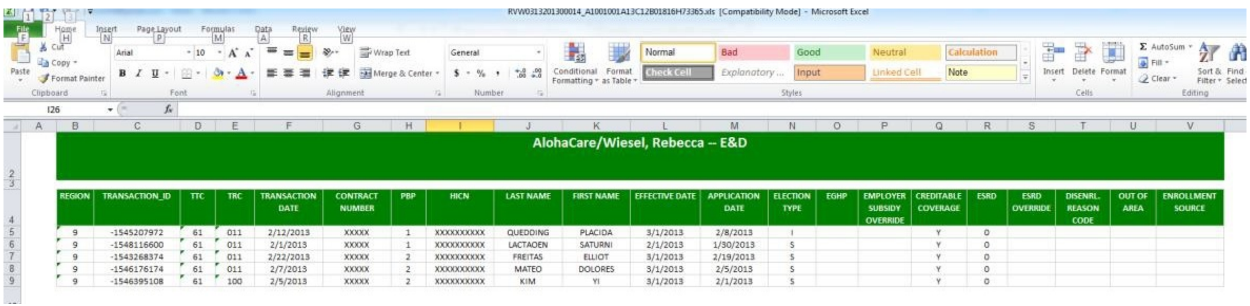
7. Depending on the browser a user may see a Windows Security pop-up. If seen, click **Cancel**.

Figure 169: Access Review Package via Actions – Windows Security Pop-Up



The document will open for viewing.

Figure 170: Access Review Package via Actions – Open Review Document

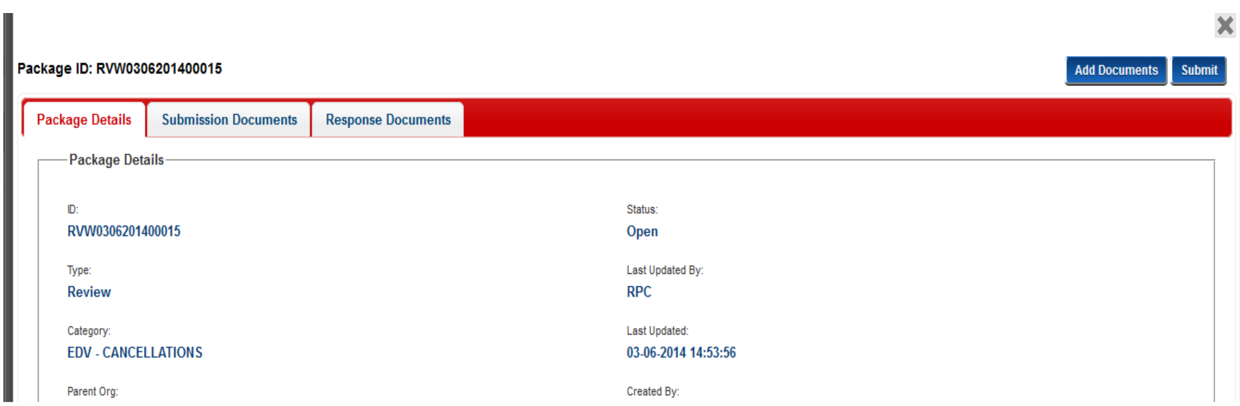


8. **Action**: To save the document to local repository, click **File** > **Save As**. The user can also click ***Download Selected Documents*** to save the documents from the list.

4.3.11.3 Complete Review Package with Response Documents

1. **Action**: Search for Review Package by following the Steps in Section 4.3.11.1.
2. **Action**: Double-click the Package to open and view it.

Figure 171: Complete Review Package with Reponses Documents



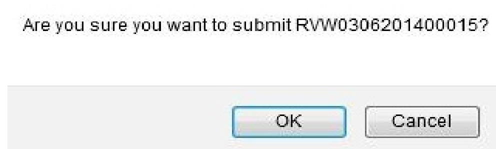
3. **Action**: Click ***Add Documents*** from the top right of the screen.

4. **Action**: Add documents as noted in Section 4.3.2.

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

5. **Action**: Click ***Submit*** if you have completed adding all the documents or select **Finished Adding Docs** to switch to View Mode.
6. Action: Once the user clicks Submit, the Submit verification message will be displayed.

Figure 172: Complete Review Package with Reponses Documents – Submit Verification



7. **Action**: Click ***OK***. The Package status will be updated to ***Completed*** and will be available for RPC to download and process.

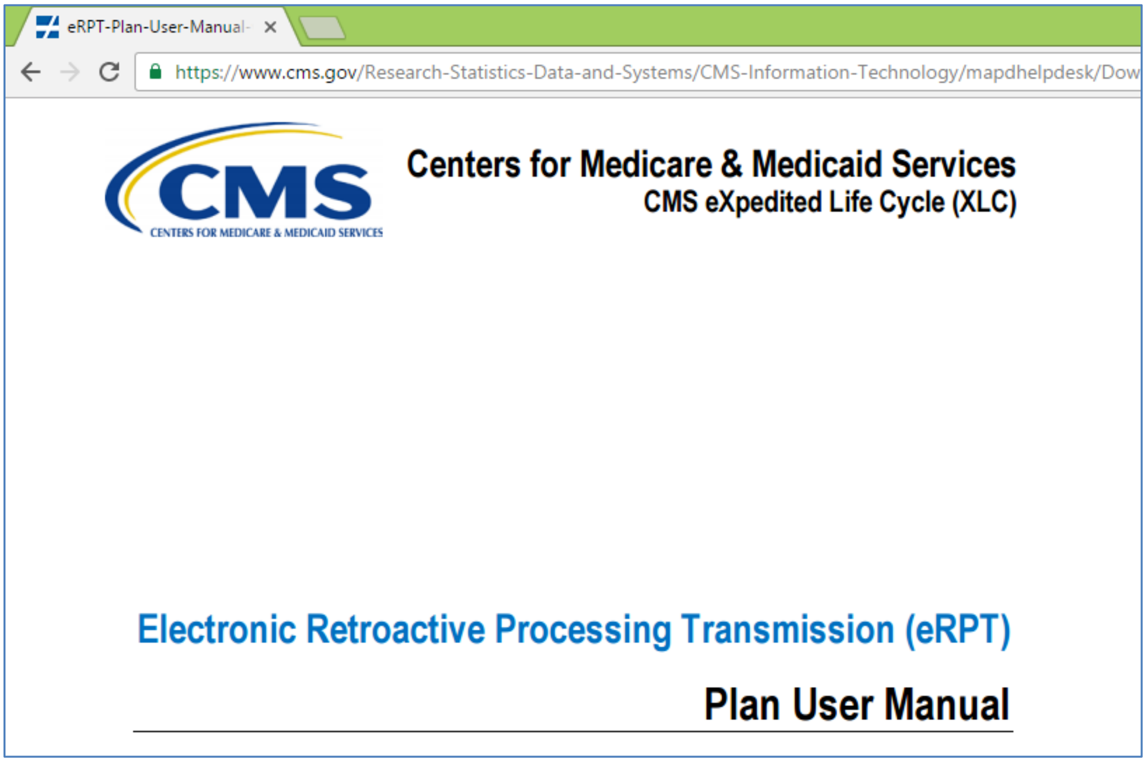
Note: If the package was submitted by **mistake** and the users had additional documents to upload, they can contact the MAPD Helpdesk at mapdhelp@cms.hhs.gov or 1-800-927-8069 to reopen the review package.

4.3.12 Accessing the User Manual

Action: Click ***User Manual*** link from within the application user interface, as shown below. The User Manual will be opened in a new window.

Figure 173: Access User Manual via "User Manual" Link

Figure 174: Access User Manual – Download



4.3.13 Email Notification Preferences

1. **Action:** Click ***Email Notification*** link from within the application user interface.

Figure 175: Email Notification Link

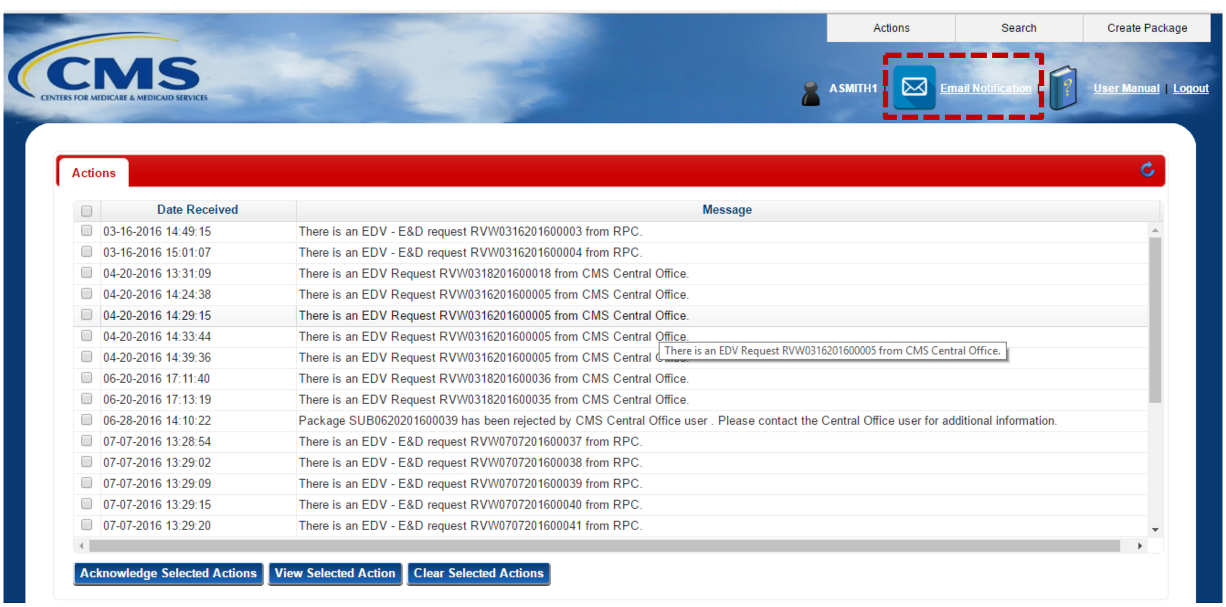


Figure 176: Email Notification – Change Email Notification Preferences

Note: By default, the preference is set to ***Subscribe***.

2. **Action:** Select ***Unsubscribe*** and click ***Save*** if you do not want to receive any emails.

4.4 Notifications

Notifications are messages sent to users to notify them about an action that has been completed on the package.

4.4.1 System Notifications

These are notifications created within the eRPT application under the “Actions” page when the following events happen in eRPT:

- A response document was added by the RPC.
- A Category 3 Submission Package was rejected by the CMS RO User.
- If a CMS CO User deleted a package created by the eRPT Plan User.
- When RPC downloads the package.
- When RPC has uploaded a Review Package or a Follow-on FDR for a contract.

The following table lists all the system notifications that a Plan User will receive:

Table 2: eRPT Notifications

Event Name	Event Description
RPC Download a Submission or Transaction Inquiry or EDV	RPC successfully downloaded package <Package ID>.
Package Delete Notification	The package <Package ID> 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 <Package ID> has been rejected by CMS Regional Office/CMS Central Office. Please refer to Package Rejection notes for any clarification.
FDR Uploaded	There is FDR(s) uploaded by RPC for Package <Package ID>.

Event Name	Event Description
RPC Inquiry Response	There is an Inquiry Response uploaded by RPC for Package <Package ID>.
Error Report Uploaded	There is an Error Report uploaded by RPC for Package <Package ID>.
EDV Request	There is an EDV - <EDV Request Description> <Package ID> from RPC.
Follow-on FDR Notification	A Follow-On FDR has been added to the system for contract <Contract #>.

4.4.2 Email Notifications

These are notifications sent to the user's email address (registered within their EIDM profile) when the following events happen in eRPT:

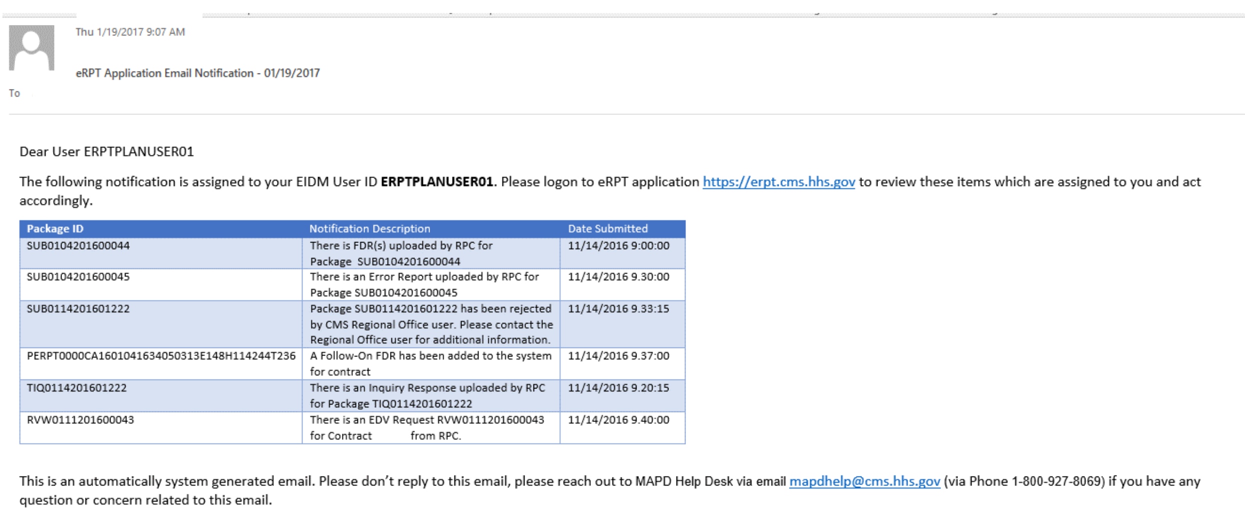
Table 3: Email Notifications

Event Name	Event Description
Package Rejected	Package <Package ID> has been rejected by CMS Regional Office/CMS Central Office user. Please contact the Regional Office/Central Office user for additional information.
FDR uploaded	There is FDR(s) uploaded by RPC for Package <Package ID>.
Error Report uploaded	There is an Error Report uploaded by RPC for Package <Package ID>.
Transaction Inquiry Response uploaded	There is an Inquiry Response uploaded by RPC for Package <Package ID>.
EDV Request (Review Package) uploaded	There is an EDV Request <Package ID> for contract <Contract #> from RPC.
Follow-on FDR uploaded	A Follow-on FDR has been added to the system for contract <Contract #>.

Note: The system will send only one (1) email daily by the end of the day at or around 09.00 PM detailing all such events mentioned above. The system will not send an email notification if no such events have occurred.

Please refer to the screenshot below for the sample email notification:

Figure 177: Sample Email Notification to eRPT Plan User Role


Thu 1/19/2017 9:07 AM

eRPT Application Email Notification - 01/19/2017

To

Dear User ERPTPLANUSER01

The following notification is assigned to your EIDM User ID **ERPTPLANUSER01**. Please logon to eRPT application https://erpt.cms.hhs.gov to review these items which are assigned to you and act accordingly.

Package ID	Notification Description	Date Submitted
SUB0104201600044	There is FDR(s) uploaded by RPC for Package SUB0104201600044	11/14/2016 9:00:00
SUB0104201600045	There is an Error Report uploaded by RPC for Package SUB0104201600045	11/14/2016 9.30:00
SUB0114201601222	Package SUB0114201601222 has been rejected by CMS Regional Office user. Please contact the Regional Office user for additional information.	11/14/2016 9.33:15
PERPT0000CA1601041634050313E148H114244T236	A Follow-On FDR has been added to the system for contract	11/14/2016 9.37:00
TIQ0114201601222	There is an Inquiry Response uploaded by RPC for Package TIQ0114201601222	11/14/2016 9.20:15
RVW0111201600043	There is an EDV Request RVW0111201600043 for Contract from RPC.	11/14/2016 9.40:00

This is an automatically system generated email. Please don't reply to this email, please reach out to MAPD Help Desk via email mapdhelp@cms.hhs.gov (via Phone 1-800-927-8069) if you have any question or concern related to this email.

Note: If you would like to unsubscribe to this email notification, logon to the eRPT application at https://erpt.cms.hhs.gov and use the Email Notification link to unsubscribe.

In the following sub-sections, we will discuss:

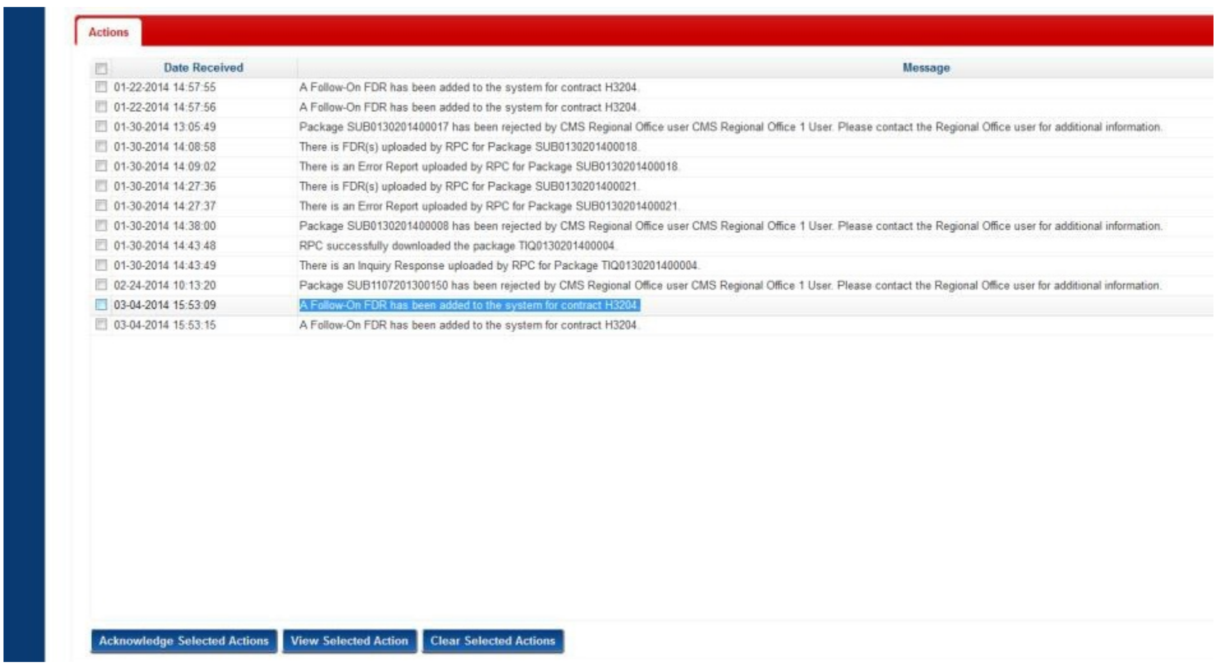
- Viewing Selected Actions
- Acknowledging Selected Actions
- Clearing Selected Actions

4.4.3 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 **Action**: Login to the eRPT application.
2 The Actions will be the landing page for the users.

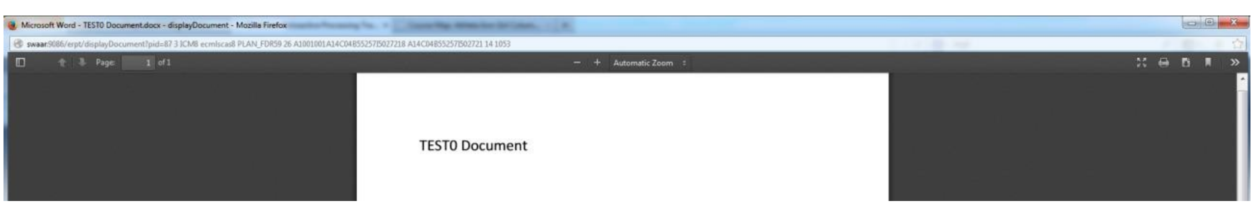
Figure 178: View Actions



3 **Action**: Click the 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. Depending on the type of action the user will be displayed with either the document or package. For this example: the action selected was for Follow On FDR, the document will be displayed.

Figure 179: View Actions – View Follow On FDR

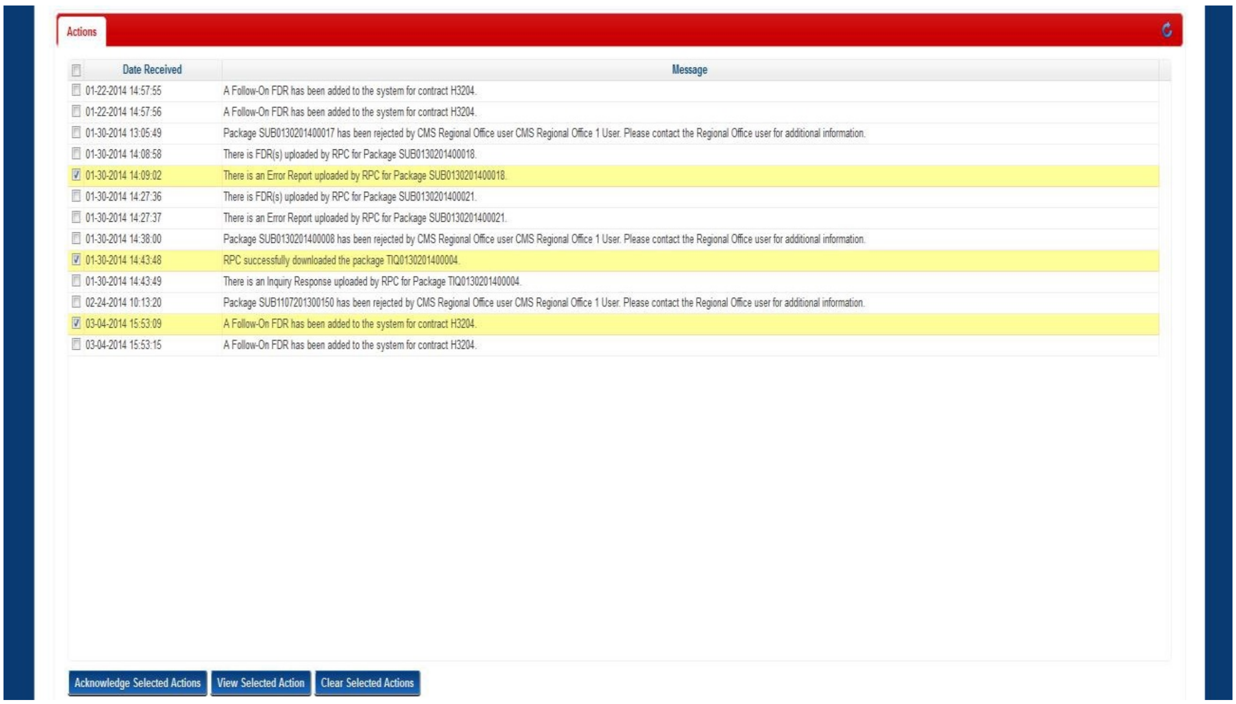


4.4.4 Acknowledge Selected Actions

The **Acknowledge Selected Actions** button is used to mark an action as completed. The user can select one to many notifications to mark them as acknowledged:

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

Figure 180: Acknowledge Selected Actions



4 **Action**: Click ***Acknowledge Selected Actions***. The messages will disappear from the **Actions** tab.

4.4.5 Clear Selected Actions

If the user decides not to acknowledge the actions, click **Clear Selected Actions** to uncheck all items.

4.5 Convert 'XLSM' Document to 'XLS'

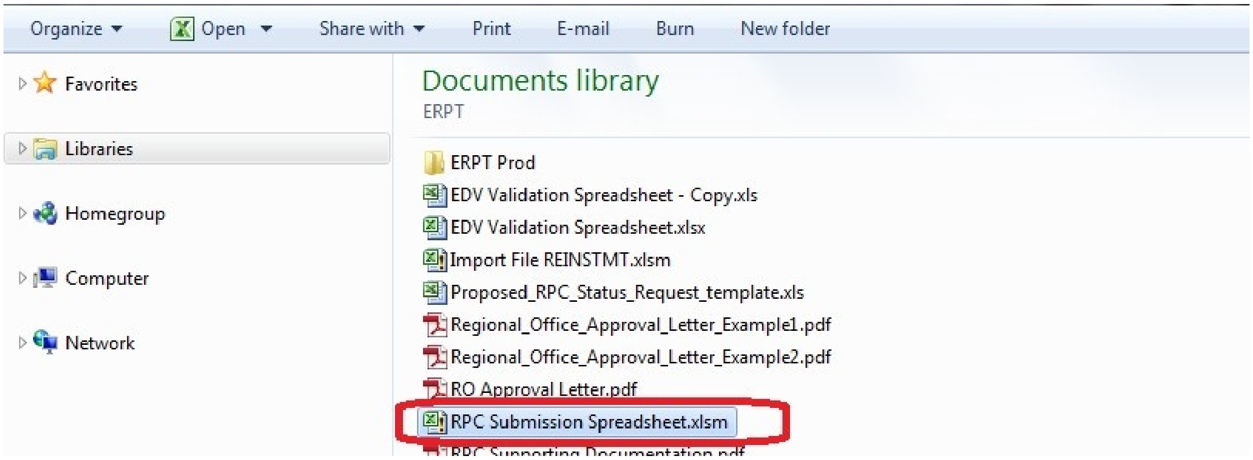
In the eRPT application a user can upload documents which are available only in the following formats:

- 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.

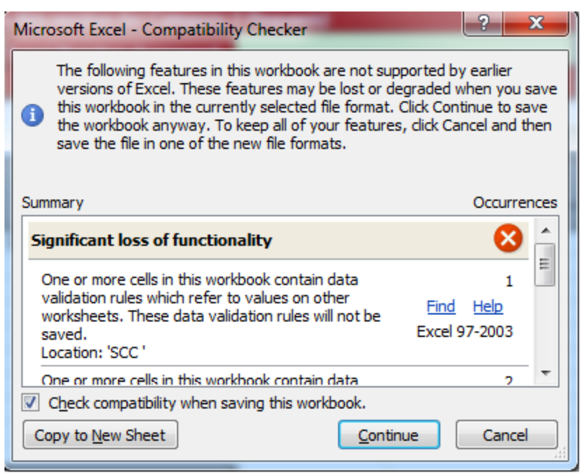
Figure 181: XLSM Documents



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.

1 **Action**: Locate the complete RPC Submission Spreadsheet on your local directory.
2 **Action**: Open the RPC Submission Spreadsheet by double clicking on the document.
3 **Action**: Click **File ->Save As**.
4 **Action**: Select **Excel 97-2003 Workbook (*.XLS)** from Save as type drop-down.
5 **Action**: Click **Save**.
6 **Action**: The following Microsoft Excel – Compatibility Checker will be displayed to the user. Click ***Continue***.

Figure 182: Convert XLSM Document – Compatibility Checker

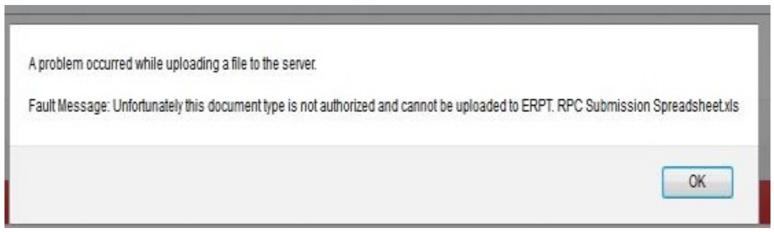


7 A new copy of RPC Submission Spreadsheet will be created in the ‘XLS’ format. A copy of RPC Submission Spreadsheet in ‘XLSM’ format will also be available to the users.

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

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

Figure 183: Convert XLSM Document – Error



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 Helpdesk 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 System Administrator. The System Administrator will be the MAPD Helpdesk. The user will need to create a ticket with the Helpdesk. 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

Table 4: Support Points of Contact

Contact	Org.	Phone	Email	Role	Responsibility
MAPD Helpdesk	CMS	1-800-927-8069	mapdhelp@cms.hhs.gov	Helpdesk support	The MAPD Helpdesk 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.
RPC Client Services	Reed and Associates	402-315-3660	clientservices@reedassociatescpas.com	RPC Helpdesk Support	The 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: User Access

Table 5: Submission Package

User Group	Create	View	Update	Delete (Soft)	Search	Add Docs	Comments
Plan User	X	*X	X*	*X	*X	X	All eRPT Plan Users having an EIDM ID and an approved eRPT Plan User role in EIDM will have access to create a Package, specific to those contracts the user has access to. • Create Access - The Plan User has complete access to create a package. • Limited View Access - The 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 by the 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.
Plan User (who is the Package Creator)	X	X	X	X	X	X	The Package Creator (Plan User) will be able to Create, Update, Read, Delete, Search, and Add Documents to a Package. • Create Access - The Plan User has complete access to create a package. • View Access - The 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.

User Group	Create	View	Update	Delete (Soft)	Search	Add Docs	Comments
							Note: Asterisk means the user will have limited access to the functionality.

Table 6: EDV Review Packages

User Group	Create	View	Update	Delete (Soft)	Search	Add Docs	Comments
Plan User		*X	*X			*X	Users restricted by Contract #. All eRPT Plan Users having an EIDM ID will have access to upload documents for their respective Contract EDV Review. • Limited Update access - The Plan User belonging to the contract will be able to mark the Package as complete. • Limited View Access - The Plan User can only view Packages belonging to their contracts. • Limited Add/Upload documents - The Plan User can add/upload only response documents to an EDV Review Package that were submitted to them. **Note:** Asterisk means the user will have limited access to the functionality.

Table 7: Transaction Inquiry Packages

User Group	Create	View	Update	Delete (Soft)	Search	Add Docs	Comments
Plan User	X	*X	*X	*X	*X	*X	All eRPT Plan Users having an EIDM ID and an approved eRPT Plan User role in EIDM will have access to create a Package, specific to those contracts the user has access to. • Create Access – The Plan User has complete access to create a package. • Limited Read Access - The 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

User Group	Create	View	Update	Delete (Soft)	Search	Add Docs	Comments
							created by that Plan User. **Note:** Asterisk means the user will have limited access to the functionality.
Plan User (who is the Package Creator)	X	X	X	*X	X	X	The Package Creator (Plan User) will be able to Create, Update, Read, Delete, Search, and Add Documents to a Package. • Create Access - The Plan User has complete access to create a package. • View Access - The 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: Package Status

A package can be tracked in the eRPT application by referring to the status of the package. 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 8: Package Status

Package Status	Package 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 Regional Office (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 Retroactive Processing Contractor (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 a retroactive package processing has been completed by the RPC the package status will be marked has closed.
Deleted	When a retroactive package is deleted by the CO User the package status will be marked as deleted.

Appendix C: Document Response Selections

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

Table 9: 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
Plan User	Submission Package – Category 3	• Package Documents • Regional Office Approval Letter	• Final Disposition Reports • Error Reports
Plan User	Submission Package – Special	• Package Documents	• Final Disposition Reports • Error Reports
Plan User	Submission Package – Resubmission	• Package Documents	• Final Disposition Reports • Error Reports
Plan User	Transaction Inquiry Package	• Package Documents	• Package Documents
Plan User	Review Package	• Package Documents	• Package Documents
CMS RO/CO	Submission Package – Category 2	• Package Documents	• Final Disposition Reports • Error Reports
CMS RO/CO	Submission Package – Category 3	• Package Documents • Regional Office Approval Letter	• Final Disposition Reports • Error Reports
CMS RO/CO	Submission Package – Category CTM	• Package Documents	• Final Disposition Reports • Error Reports
CMS RO/CO	Submission Package – Special	• Package Documents • Regional Office Approval Letter	• Final Disposition Reports • Error Reports
CMS RO/CO	Submission Package – Resubmission	• Package Documents	• Final Disposition Reports • Error Reports
CMS RO/CO	Submission Package – Payment Validation	• Package Documents	• Final Disposition Reports • Error Reports
CMS RO/CO	Transaction Inquiry Package	• Package Documents	• Package Documents
CMS RO/CO	Review Package	• Package Documents	• Package Documents

Appendix D: Package Documents

The following table lists the documents that are required and can be submitted during Package creation and submission.

Note: Please refer RPC SOP on the website regarding the documentation and the documentation format that needs to be submitted for package.

Table 10: Package Documents

Package Type	Documents	eRPT Document Type Value
Submission Package – Category 2	• Cover Letter (PDF file) • Spreadsheet (XLS or XLSX file) • Supporting documents (PDF 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 documents (PDF file(s)) • Approval Letter	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation • Approval Letter
Submission Package – Category CTM	• Cover Letter (PDF file) • Spreadsheet (XLS or XLSX file) • Supporting documents (PDF file(s))	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation
Submission Package – Special	• Cover Letter (PDF file) • Spreadsheet (XLS or XLSX file) • Supporting documents (PDF file(s)) • Approval Letter Note: Uploading documents to Special Submission Package is optional.	• RPC Cover Letter • RPC Submission Spreadsheet • RPC Supporting Documentation • Approval Letter
Submission Package – Resubmission	• Cover Letter (PDF file) • Spreadsheet (XLS or XLSX file) • Supporting documents (PDF 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 documents (PDF file(s))	• 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	• EDV Validation Spreadsheet (XLS or XLSX file) • Supporting documents (PDF file(s))	• RPC Supporting Documentation

Appendix E: Acronyms

Table 11: Acronyms

Acronym	Literal Translation
CMS	Centers for Medicare & Medicaid Services
CO	Central Office
CTM	Complaint Tracking Module
CTS	Content Transport Service
ECM	Enterprise Content Management
EDV	Enrollment Data Validation
EIDM	Enterprise Identity Management
eRPT	Electronic Retroactive Processing Transmission
ESRD	End Stage Renal Disease
FDR	Final Disposition Report
HPMS	Health Plan Management System
ID	Identifier
LIS	Low Income Subsidy
MA	Medicare Advantage
MAO	Medicare Advantage Organization
MAPD	Medicare Advantage Prescription Drug
MA-PDP	Medicare Advantage Prescription Drug Plan
MARX	Medicare Advantage Prescription Drug System
MMP	Medicare-Medicaid Plans
MMR	Monthly Membership Report
NPAR	Network Patient Activity Report
PACE	Program for All-Inclusive Care for the Elderly
PAY VAL	Payment Validation
PBP	Plan Benefit Package
PDP	Prescription Drug Plan
RAC	Residence Address Change
RO	CMS RO
RO	Regional Office
RPC	Retroactive Processing Contractor
SOP	Standard Operating Procedure
TRR	Transaction Reply Report
UI	User Interface
XLC	eXpedited Life Cycle

Appendix F: Glossary

Table 12: 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 For example, Hxxxx where xxxx=the assigned 4-digit number.
Error Reports	A list identifying the specific transaction requests within the RPC Submission Spreadsheet submitted by a MA, MAPD, and PDP sponsoring organizations which were not properly uploaded into the RPC system. The report is returned to the submitter for resubmission to the RPC.
FDR	A report indicating the CMS processing status of each transaction request previously submitted in the RPC Submission Spreadsheet.
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 beneficiary-level payments for Medicare Advantage and Part D.
Notification	A system message triggered by a workflow or processing event that is displayed to the user. 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	Parent Organizations are the entity which oversees the various approved Plans.
The Plans	The eRPT user groups from Medicare Advantage (MA), PDP, Cost Plans, or PACE organization who submit beneficiary enrollment/disenrollment change requests via eRPT application for processing.
Response Documents	The Documents that are added to the package by the RPC user.
Retroactive Processing Contractor (RPC)	The Medicare contractor responsible for processing retroactive Medicare Advantage (MA) and Prescription Drug Plan (PDP) beneficiary enrollment/disenrollment change requests submitted by plan/sponsors.

Term	Definition
Review Package	The 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 Request (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 audit findings to the appropriate CMS RO Account Manager for final review and to address any follow-up needed on negative findings.
Submission Documents	These are the documents that are added to the package during creation and also during package processing by the CMS RO user.
Submission Package	Retroactive enrollment-related transactions submitted by a Plan to RPC such as Enrollments, Disenrollments, Reinstatements, LIS Deeming Updates, and Medicaid 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 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 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. 7. Resubmission - Timely retroactive enrollment transactions (including Payment Validation Adjustments to verify the documentation provided by the organization supports the transaction submitted to CMS. 8. 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. 9. Special - A customized user Package submitted by the CMS Central Office Staff or Plan Users (with CMS approval) to RPC.

Term	Definition
Submitting Organization	An organization with the authorized capability of submitting packages/inquires to eRPT.
Transaction Inquiry Package	These packages are created to launch specific inquiries for packages within eRPT.
Transaction Reply Code (TRC)	Codes used to explain what action MARx took in response to new information from CMS systems or in response to input from Plans, CMS, or other users.
User Interface	The mechanism by which the user will view, update packages in the Retroactive Process in eRPT.
Web Service	The mechanism by which the RPC will communicate with the eRPT system.

Appendix G: Referenced Documents

Table 13: Referenced Documents

Document Name	Document Location and/or URL	Issuance Date
eRPT_R4_Requirements Document	Scope Infotech SharePoint site	12/30/2016
eRPT R3M2 Requirements Document	Scope Infotech SharePoint site	02/05/2016
eRPT Application Integration Technical Requirements	Scope Infotech SharePoint site	11/27/2015
eRPT Requirements Document	Scope Infotech SharePoint site	11/07/2013

Appendix H: Record of Changes

Table 14: Record of Changes

Version#	Date	Author/Owner	Description of Change
3.0	02/09/2016	Anand Srinivasan	▪ Updated with the EIDM process flow to inform the eRPT Plan User the steps involved in registering and requesting access to eRPT application role and contracts within EIDM. ▪ Updated for appropriate use of Acronyms throughout the document and the corresponding Acronyms table. • Updated the User roles names to be consistent throughout the document (eRPT Plan User, CMS CO and CMS RO Users), where applicable.
3.1 FINAL	02/19/2016	Faye Newsham	PSO Approved to baseline.
3.2 FINAL	07/08/2016	Anand Srinivasan	Updated for Section 3.3.2 User Replacement.
3.3 DRAFT	01/20/2017	Anand Srinivasan	A. Updated the following sections: 4.2.2.2 Submission-Category 3 and Special Package Workflow 4.3.1 Create Package – Submission Package 4.3.2 Create Package – Transaction Inquiry Package 4.3.3 Search Package 4.3.6 Delete Uploaded Supporting Documentation from a Draft Package 4.4.1 System Notifications B. Added the following new sections: 4.3.12 Accessing the User Manual 4.3.13 Email Notification Preferences 4.4.2 Email Notifications
3.3 FINAL	01/27/2017	Anand Srinivasan	PSO Approved to baseline.
3.4 DRAFT	12/10/2018	Anand Srinivasan	Updated Section 3 for eRPT-CMS Enterprise Portal integration.
3.4 FINAL	1/4/2019	Anand Srinivasan	Approved Final Version (508 compliant).

Appendix I: Approvals

The undersigned acknowledge that they have reviewed the and agree with the information presented within this document. Changes to this will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature:		Date:	
Print Name:	Gloria Barretto		
Title:	ECM Project Manager		
Role:	Submitting Organization Approval Authority		

Signature:		Date:	
Print Name:	Crystal Myers		
Title:	ECM GTL		
Role:	CMS Approving Authority		

Signature:		Date:	
Print Name:	Tammie Hill/Taylor Perry		
Title:	eRPT Business Owners		
Role:	CMS Approving Authority		