



**OFFICE OF INFORMATION SERVICES**

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**DATE:** October 25, 2006

**TO:** All Medicare Advantage, Prescription Drug Plan, Cost, PACE, and Demonstration Organizations Systems Staff

**FROM:** Henry Chao /s/  
Deputy Director, Information Services Design and Development Group

**SUBJECT:** 2006 End of Year Processing Schedule

The purpose of this memo is to provide Plans with a high-level view of the upcoming 2006 End of Year Processing Schedule with respect to Plan enrollments.

Please note that due to workload processing, all timeframes described in this memo (except Plan submission cutoff dates) are subject to change; they are provided here to give Plans some information with which to prepare and plan their activities.

**Plan Enrollment Submission Schedule** – As communicated previously, CMS has changed the plan data submission cutoff date in November from November 15 to November 8, 2006. Please make necessary adjustments to your processes to meet this date. The plan submission cutoff date in December remains December 8, 2006.

**Enrollment System Transaction Processing** – Between November 9, 2006 and (approximately) November 30, 2006 CMS will not be processing enrollment files but will be putting files into a “holding” state. Plans may send enrollment files to CMS following enrollment submission rules, however these files will be held until software updates and 2007 configuration tasks are complete. CMS estimates that Plan transactions will begin to be processed on a first-in-first-out basis beginning on or about December 1, 2006 at which time, Plans will begin to receive their Batch Completion Summary Status reports (BCSS).

Plans may submit enrollments for December 2006 effective dates as well as January 2007 effective dates in one file starting as early as November 9, 2006 (assuming all election type rules are followed – read below “Election Period Processing”). Plans do not have to split files by effective date year. As always, Plans may submit transactions for multiple contracts in one file.

4Rx and BEQ transaction processing will be impacted by 2007 configuration tasks as well. Between (approximately) November 11, 2006 and November 14, 2006, no BEQ or 4Rx files will be processed. If Plans send in files during this time, they will be held pending completion of software implementation, then batched together with all responses sent back in one file (rather than one per submission).

In addition, between the approximate dates of November 15, 2006 and November 24, 2006, CMS will again hold 4Rx processing. 4Rx files submitted by Plans during this timeframe will be held until processing resumes, at which point, all submissions for a sending entity will be batched together and one response file will be returned. Please note that BEQ transaction files will be processed as normal during this timeframe.

No surface edit emails will be generated when files are being held.

**Election Period Processing** - The annual election period (AEP) begins on November 15, 2006. Unsolicited beneficiary AEP paper enrollment applications received prior to the official start date of the AEP may be submitted beginning on November 15, 2006. Again, these transactions will be collected, held and then processed in the order of receipt in the system to ensure accuracy of submissions. Please reference the memo from Anthony Culotta, published September 7, 2006 with the subject of "2007 Plan Marketing and the Annual Enrollment Period (AEP)", for specific policy on how to handle these requests.

CMS systems are not configured to process non-AEP elections with 2007 effective dates at this time. Plans that have received these enrollment applications may begin to submit these after the November 8, 2006 cutoff. As indicated above, they will be held until 2007 configuration tasks are complete (i.e. 2007 contracts and PBPs have been loaded to the system). If the Plan submits these transactions prior to the November 8 cutoff, the transaction will be rejected with either TRC 003 – Invalid Contract Number or TRC107 – Invalid or Missing PBP Number.

**Retroactive File Submission** – Due to processing constraints, CMS will not accept any batch retroactive enrollment files between November 1, 2006 and December 19, 2006.

**Enrollment System User Interface (UI) Unavailable**– The MARx UI will not be available for Plan access between November 11 and on or about November 14, 2006 due to software implementation and 2007 configuration tasks. Plans should also note that the UI will be unavailable for CMS online enrollment activity until the end of November with limited availability in December.

#### **Rollover Processing**

CMS has targeted the processing of Plan Rollovers and Terminations for the timeframe between December 11 and December 16, 2006. For Plans that have received enrollment requests to move beneficiaries to another PBP effective 2007, Plans must submit those transactions prior to the rollover processing, or in other words, by the submission cutoff in December (12/08/06). By doing so, Plans will be eliminating the need to correct PBPs for those beneficiaries at a later date. Plans should be aware they will receive transactions on the subsequent weekly TRR as a result of this processing. CMS will provide further information and guidance to Plans on the rollover process in a future communication.

**Special Full Enrollment TRR**– Around December 18, 2006, CMS will create and distribute a special full enrollment file that will provide Plans with premium information on all enrolled members. During the end of year processing, Plans SHOULD NOT send in 72 transactions for the purpose of receiving responses with premium and low-income status information since the data will be provided to all Plans via this file. If the information on this file is incorrect for your member(s), submit a 72 transaction with the corrected premium information by the MARx cutoff date in January.

MA only Plans should send in 72 transactions to update Part C premium information for beneficiaries who have a different premium for 2007. Note that a 71 transaction must be used if the members also changed PBPs.

Please direct questions or concerns to the MMAHelp Desk at 1-800-927-8069 or via email to [mmahelp@cms.hhs.gov](mailto:mmahelp@cms.hhs.gov).