

**Health Plan Management System**  
**Negative Formulary Change Request**  
**Submission Module User Manual**

**Version 01.00**  
Contract Year 2009





## Table of Contents

Table of Contents.....	i
List of Exhibits.....	2
1 Introduction .....	4
2 Negative Formulary Change Request Submission Module .....	5
3 Submit Negative Change Request(s).....	9
4 Negative Change Request Details .....	14
5 Withdraw Negative Change Request(s).....	22
6 Incomplete Negative Change Request Submission.....	26
7 Apply Submitted Negative Change Request(s) to Other Formulary ID(s).....	30
8 Reports.....	35
Appendix A – Maintenance TOC(s) .....	40
Appendix B – Non Maintenance TOC(s).....	43
Appendix C – Go To Links .....	45

## List of Exhibits

Exhibit 2-1 HPMS Home Page-Plan Formularies, Formulary Maintenance Link.....	5
Exhibit 2-2 Formulary Maintenance Page-Negative Formulary Change Request Contract Year Link.....	6
Exhibit 2-3 Negative Formulary Change Request Module .....	7
Exhibit 3-1 Negative Change Request – Affected Drug Search Page .....	9
Exhibit 3-2 Negative Change Request - Affected Drug Search Results .....	11
Exhibit 3-3 Negative Change Request Selection page – Select Affected Drug Records and Assign a Type of Change (TOC).....	13
Exhibit 4-1 Type of Change – Brand Step, Add FRF Generic Without Step .....	14
Exhibit 4-2 Type of Change – Brand Step, Add FRF Generic Without Step – Offset Identifier Information .....	16
Exhibit 4-3 Type of Change – Brand Step, Add FRF Generic Without Step – Offset Identifier Information Validation .....	17
Exhibit 4-4 Type of Change – Brand Step, Add FRF Generic Without Step – Affected Drug and Other Required Information.....	18
Exhibit 4-5 Change Request Details page – After Completion of Required NCR Information ....	19
Exhibit 4-6 Negative Change Request – Completion page.....	20
Exhibit 4-7 Negative Change Request – Submission Successful page.....	21
Exhibit 5-1 Withdraw Negative Change Request(s) – Parameter Page.....	22
Exhibit 5-2 Withdraw Negative Change Request(s) – Search Results Page .....	24
Exhibit 6-1 Incomplete Negative Change Request Submission – Completion Page .....	27
Exhibit 6-2 Negative Change Request – Submission Successful page.....	28
Exhibit 7-1 Apply Previously Submitted Negative Change Request(s) to Other Formularies – Parameter Page .....	30
Exhibit 7-2 Apply Previously Submitted Negative Change Request(s) to Other Formularies – Parameter Page (continued) .....	31
Exhibit 7-3 Apply Previously Submitted Negative Change Request(s) to Other Formularies – Search Results/Selection Page.....	32
Exhibit 7-4 Apply Submitted Negative Change Request(s) to Other Formularies – Search Results/Selection page (continued) .....	33
Exhibit 8-1 Reports Page .....	35
Exhibit 8-2 Status History Report – Parameter Page.....	36

Exhibit 8-3 Status History Report – Search Results Page ..... 38

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

# 1 Introduction

The Negative Formulary Change Request System provides a coordinated approach for Part D Sponsors and Consultants to submit negative formulary change requests to CMS for review. All submissions are evaluated by CMS and decisions allow Part D Sponsors to adjust formulary files accordingly.

Negative formulary change request submissions represent requests to make certain modifications to the most recently approved formulary.

The Negative Formulary Change Request Submission module in the Health Plan Management System (HPMS) is organized into the following five functional areas:

- **Submit Negative Change Request(s)** – Allows the user to create new Negative Formulary Change Requests. You will be required to select a formulary and associate a type of change (TOC) to each NDC/drug that you intend to submit a negative change request for.
- **Withdraw Negative Change Request(s)** – Allows the user to withdraw one or multiple negative change requests (provided the review status of the negative change request is “Not Started”).
- **Incomplete Negative Change Request Submission** – Allows the user to open and finalize a negative change request submission which has been interrupted (e.g. browser failure, logged off prior to finalizing submission).
- **Apply Submitted Negative Change Request(s) to Other Formulary IDs** – Allows the user to select previously submitted negative change requests and apply them to additional formularies as applicable.
- **Reports** – Allows the user to access the Status History Report to view the status and review comments for all successfully submitted negative change requests.

## 2 Negative Formulary Change Request Submission Module

To access the HPMS Negative Formulary Change Request module, select the Plan Formularies link from the left navigation bar. The Formulary Maintenance option will be available in the pop-up menu.

To access the Negative Formulary Change Request module for contract year 2009, select the CY 2009 Negative Formulary Change Request link from the Formulary Maintenance page.

Exhibit 2-1 HPMS Home Page-Plan Formularies, Formulary Maintenance Link

HPMS: Home Page - Microsoft Internet Explorer provided by CGI Federal

Address: http://hpmswebt/secure/home.asp

HPMS Health Plan Management System Home

Plan Bids  
Plan Formularies  
Log Off HPMS

This is a U.S. Government computer system subject to Federal law.

**Hello Administrator All Functionality !**

Formulary Submission  
Formulary Review  
Formulary Reports  
Negative Formulary Change Requests  
NCR Review  
**Formulary Maintenance**

- 10/05/2004 Release of [letter](#) re: 2005 Model Evidences of Coverage.
- 10/04/2004 - 10/05/2004 Second MCO preview of 10/19 MPPF update.
- 9/29/2004 Release of updated [drug card reporting requirements](#).
- 9/27/2004 Release of [Medicare Health Outcomes Survey \(HOS\) Cohort 4 Performance Measurement Reports and Cohort 6 Baseline Reports](#) in HPMS.
- 9/26/2004 - 9/22/2004 MCO preview of CY 2005 handbook data and 10/19 MPPF update.
- 9/20/2004 Release of drug card [bulletin #14](#) (Attachments [1](#) and [2](#)).
- 9/20/2004 [Update](#) to Chapter 13 of the Medicare Managed Care Manual.
- 9/17/2004 3rd Quarter Medicare Managed Care Manual [Training Call](#).
- 9/13/2004 Release of Version 3.0 of [HPMS Monitoring Worksheet Tool](#).
- 9/13/2004 Deadline for CY 2005 ACRP uploads.
- 9/10/2004 Release of [memo](#) re: the 2005 Medicare Part B premium and rates and the PBP/SB.
- 9/8/2004 Release of [memo](#) re: the Part B premium and the ACR.
- 9/8/2004 Release of [cover memo](#) and attachments [1](#), [2](#), [3](#), [4](#), and [5](#) re: pancreatic islet cell transplants.
- 9/7/2004 - 9/10/2004 Annual Managed Care Enrollment and Payment Conference in Baltimore, Maryland.
- 9/7/2004 [Update](#) to Chapter 17 of the Medicare Managed Care Manual.
- 9/7/2004 Release of drug card [bulletin #11 \(attachment 1\)](#).
- 9/7/2004 Release of drug card [bulletin #12](#).
- 9/7/2004 Release of drug card [bulletin #13](#) (Attachments [1](#), [2](#), [3](#), [4](#)).

Click here for the [archived in the News](#) items.

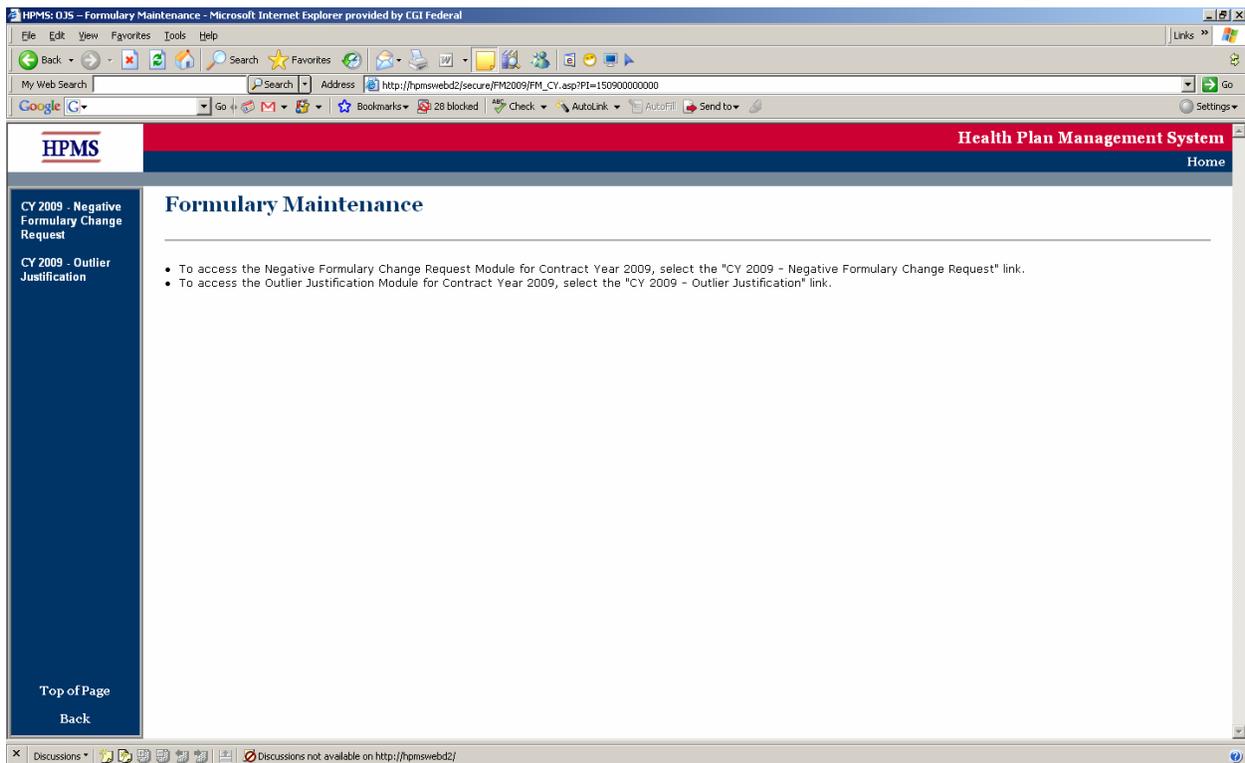
Top of Page  
Back

http://hpmswebt/secure/FM2009/FM\_CY.asp?PI=150900000000 Local intranet

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## Exhibit 2-2 Formulary Maintenance Page-Negative Formulary Change Request Contract Year Link



To access the Negative Change Request Module, you must click on the “CY 2009 – Negative Formulary Change Request” link on the left hand navigation bar. Once the **link** is selected, you will be able to access the **Negative Formulary Change Request Module** page.

## Exhibit 2-3 Negative Formulary Change Request Module

The screenshot shows a web browser window titled "HPMS: NCR Submission - Negative Formulary Change Request Submission Start Page - Microsoft Internet Explorer provided by CGI Fe". The address bar shows the URL "http://hpmswebt/secure/FM2009/nrc\_submission\_home.asp?PI=". The page features a red header with "HPMS" on the left and "Health Plan Management System" on the right. Below the header is a blue navigation bar with "Home" on the right. The main content area is titled "Negative Formulary Change Request Submission Start Page" and contains several sections: "Submit NCR(s)", "Withdraw NCR(s)", "Incomplete NCR(s) Submission", "Apply Submitted NCR(s) to Other Formulary ID(s)", "Reports", and "Documentation". Each section has a brief description of its function. A left navigation bar contains links for "Submit NCR(s)", "Withdraw NCR(s)", "Incomplete NCR(s) Submission", "Apply Submitted NCR(s) to Other Formulary ID(s)", "Reports", "Documentation", and "Help". At the bottom of the left navigation bar are "Top of Page" and "Back" links. The status bar at the bottom of the browser shows "Done" and "Local intranet".

The following links will be available on the left navigation bar:

- **Submit NCR(s)** -- Allows the user to create and submit new negative change requests for a single formulary ID.
- **Withdraw NCR(s)** -- Allows the user to withdraw any negative change requests that have a CMS review status of "Not started".
- **Incomplete NCR(s) Submission** -- Allows the user to open and finalize (i.e. final submission for review) an NCR Submission which has been interrupted (e.g. browser failure, logged off prior to finalizing submission, etc.....).
- **Apply Submitted NCR(s) to Other Formulary ID(s)** -- Allows the user to select previously completed negative change requests submissions and apply them to additional formularies.
- **Reports** -- Allows the user to access the "Status history report" to view the status and reviewer comments for all successfully submitted Negative Change Requests.
- **Documentation** -- Allows the user to access their User Manual for Negative Formulary Change Request submissions.

Negative Formulary Change Request Submission Module User Manual    Negative Formulary Change Request Submission Module  
Created: November 20, 2008  
Revised: December 12, 2008/Version No. 01.00

7

### **INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

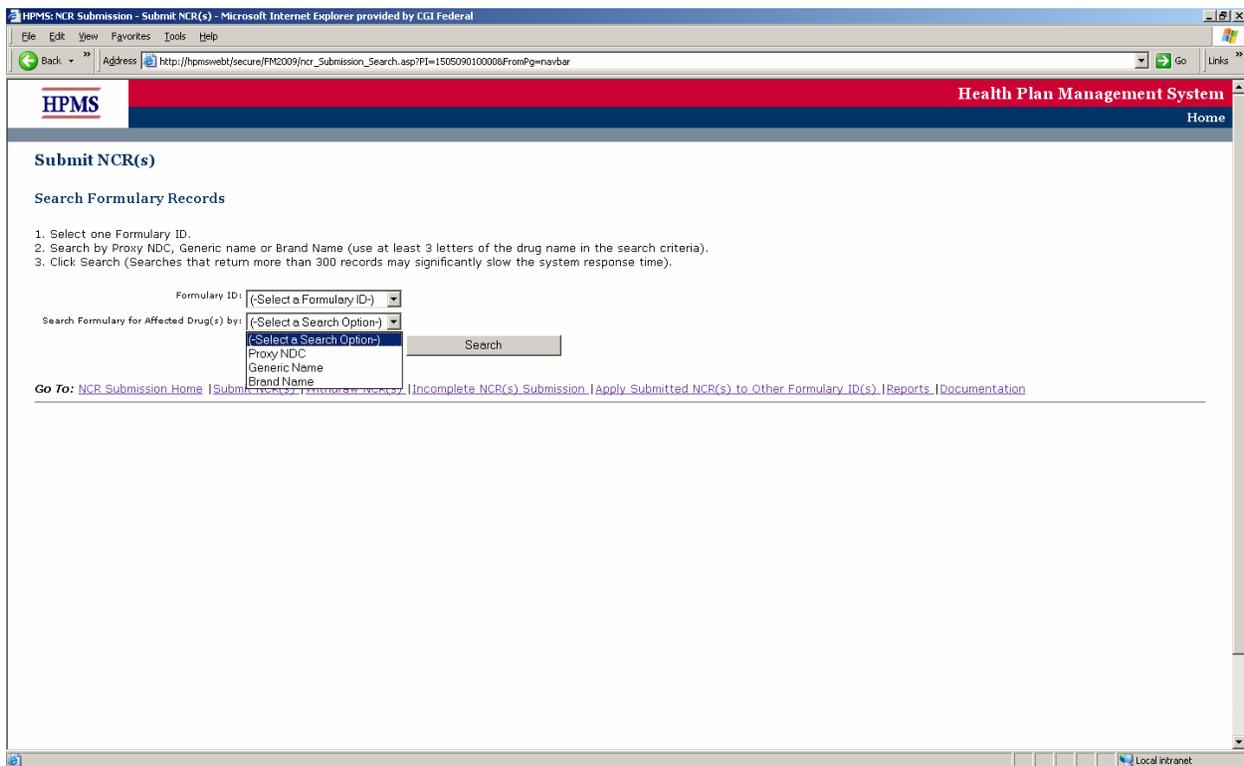
*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

- **Help** – Allows the to access on-line help for the Negative Formulary Change Requests submission module.

### 3 Submit Negative Change Request(s)

The “Submit NCR(s)” link on the left hand navigation bar when clicked, will navigate you to the “Negative Change Request Selection” page. This page allows you to create and submit new negative change requests for a single formulary. This function allows you to select one or more Affected Drugs from a single formulary ID (FID) and assign a type of change (TOC) to each drug. You may search for the Affected Drug(s) by Proxy NDC, Brand Name or Generic Name.

**Exhibit 3-1 Negative Change Request – Affected Drug Search Page**



The following fields will be displayed on the Negative Change Request Selection page:

Field	Definition
Formulary ID	Drop Down. It displays formularies for which you can submit a negative change request. Only one formulary ID may be selected.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

Search Formulary for Affected Drug(s) by:	Drop Down. You can select an option for the Affected Drug Proxy NDC, Affected Drug Generic Name or Affected Drug Brand Name.
Affected Drug Proxy NDC	Text entry. The proxy NDC must be 11 digits. You may enter multiple NDCs separated by a comma.
Affected Drug Generic Name	Text entry. You may enter full or partial Generic Names. You may enter multiple Generic Names separated by a comma. This field is NOT case sensitive.
Affected Drug Brand Name	Text entry. You may enter full or partial Brand Names. You may enter multiple Brand Names separated by a comma. This field is NOT case sensitive.

Please complete the following steps to view search results:

1. 1. Select a formulary ID from the drop down. Only one formulary ID can be selected on this page.
2. 2. Select the desired search parameter (Proxy NDC/Brand name/Generic name) from the “Search Formulary for Affected Drug(s) by” drop down and then enter the specific search criteria.
3. 3. Click the “Search” button to view the formulary drugs displayed for the entered search criteria.

## Exhibit 3-2 Negative Change Request - Affected Drug Search Results

**Search Formulary Records**

- Select one Formulary ID.
- Search by Proxy NDC, Generic name or Brand Name (use at least 3 letters of the drug name in the search criteria).
- Click Search (Searches that return more than 300 records may significantly slow the system response time).

Formulary ID:

Search Formulary for Affected Drug(s) by:   i.e. BRAND,Brand,RAND

---

**Select Records and Assign Type of Change (TOC)**

- Select the NDC(s) for which you are submitting change requests. Use the "Select All" check box if submitting requests for all NDC(s), or use the individual check boxes if only submitting changes for a subset of NDC(s).
- Select a Type of Change for each NDC or select a single Type of Change and click the "Assign TOC to All" button.
- Click the "Continue to NCR Details" button. Only NDC(s) checked as part of Step 1 and associated with a Type of Change in Step 2 will be carried through the submission.

**NOTE: In order to apply a single Type of Change to all selected drugs, please select the Type of Change from the TOC drop-down menu and click the "Assign TOC to All" button.**

TOC:

Select All	Type of Change (TOC)	Affected Drug Proxy NDC	Affected Drug Brand Name	Affected Drug Generic Name	Dosage Form	ROA	Strength	Tier
<input type="checkbox"/>	<input style="width: 100%;" type="text" value="(-Select a Type of Change-)"/>	58914050156	CANASA	MESALAMINE (5-ASA)	SUPP	RECT	1000 MG	3
<input type="checkbox"/>	<input style="width: 100%;" type="text" value="(-Select a Type of Change-)"/>	00065033230	PATANASE	OLOPATADINE HYDROCHLORIDE	SOLN	NASL	0.6 %	4
<input type="checkbox"/>	<input style="width: 100%;" type="text" value="(-Select a Type of Change-)"/>	00026286151	PRECOSE	ACARBOSE	TABS	ORAL	50 MG	4
<input type="checkbox"/>	<input style="width: 100%;" type="text" value="(-Select a Type of Change-)"/>	00026286251	PRECOSE	ACARBOSE	TABS	ORAL	100 MG	2
<input type="checkbox"/>	<input style="width: 100%;" type="text" value="(-Select a Type of Change-)"/>	00026286351	PRECOSE	ACARBOSE	TABS	ORAL	25 MG	4

**Go To:** [NCR Submission Home](#) | [Submit NCR\(s\)](#) | [Withdraw NCR\(s\)](#) | [Incomplete NCR\(s\) Submission](#) | [Apply Submitted NCR\(s\) to Other Formulary ID\(s\)](#) | [Reports](#) | [Documentation](#)

The above exhibit (3-2) displays the search result as it initially loads. The following fields will be displayed after you search for records based on the entered search criteria.

Field	Definition
TOC	Drop Down. You may select one type of change from a list that can be applied to all selected negative change requests by using the "Assign TOC to All" button. The complete type of change descriptions are displayed in the drop down.
Assign TOC to All	Push button. It allows you to assign a single type of change (TOC) to all the selected negative change requests.
Type of Change (TOC)	Drop Down. You may select one type of change from a list that will be applied to a single selected record. The complete type of change descriptions are displayed in the drop down.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

Select All	Check box. You may check the Select All check box to select all of the displayed drugs. If you do not want to select all of the items, you may uncheck the corresponding box for each affected drug.
Affected Drug Proxy NDC	Display Only. It displays the Proxy NDC code based on the previously entered search criteria.
Affected Drug Brand Name	Display Only. It displays the Brand Name of the drug based on the previously entered search criteria.
Affected Drug Generic Name	Display Only. It displays the Generic Name of the drug based on the previously entered search criteria.
Affected Drug Dosage Form	Display Only. It displays the Dosage Form based on the selection on previously entered search criteria.
Affected Drug ROA	Display Only. It displays the Route of Administration based on the previously entered search criteria.
Affected Drug Strength	Display Only. It displays the Strength of the drug based on the previously entered search criteria.
Affected Drug Tier	Display Only. It displays the Tier of the drug based on the selection on the previously entered search criteria.

### Exhibit 3-3 Negative Change Request Selection page – Select Affected Drug Records and Assign a Type of Change (TOC)

HPMS: NCR Submission - Submit NCR(s) - Microsoft Internet Explorer provided by CGI Federal

Address: http://hpmswebt/secure/FM2009/nrc\_submission\_search.asp?PI=150509010000

#### Search Formulary Records

- Select one Formulary ID.
- Search by Proxy NDC, Generic name or Brand Name (use at least 3 letters of the drug name in the search criteria).
- Click Search (Searches that return more than 300 records may significantly slow the system response time).

Formulary ID: 00006666

Search Formulary for Affected Drug(s) by: Brand Name |  i.e. BRAND,Brand,RAND

---

#### Select Records and Assign Type of Change (TOC)

- Select the NDC(s) for which you are submitting change requests. Use the "Select All" check box if submitting requests for all NDC(s), or use the individual check boxes if only submitting changes for a subset of NDC(s).
- Select a Type of Change for each NDC or select a single Type of Change and click the "Assign TOC to All" button.
- Click the "Continue to NCR Details" button. Only NDC(s) checked as part of Step 1 and associated with a Type of Change in Step 2 will be carried through the submission.

**NOTE: In order to apply a single Type of Change to all selected drugs, please select the Type of Change from the TOC drop-down menu and click the 'Assign TOC to All' button.**

TOC: (-Select a Type of Change-)

Select All	Type of Change (TOC)	Affected Drug Proxy NDC	Affected Drug Brand Name	Affected Drug Generic Name	Dosage Form	ROA	Strength	Tier
<input type="checkbox"/>	(-Select a Type of Change-)	58914050156	CANASA	MESALAMINE (5-ASA)	SUPP	RECT	1000 MG	3
<input type="checkbox"/>	(-Select a Type of Change-)	00065033230	PATANASE	OLOPATADINE HYDROCHLORIDE	SOLN	NASL	0.6 %	4
<input type="checkbox"/>	(-Select a Type of Change-)	00026286151	PRECOSE	ACARBOSE	TABS	ORAL	50 MG	4
<input checked="" type="checkbox"/>	Brand Step, Add FRF Generic without Step	00026286251	PRECOSE	ACARBOSE	TABS	ORAL	100 MG	2
<input type="checkbox"/>	(-Select a Type of Change-)	00026286351	PRECOSE	ACARBOSE	TABS	ORAL	25 MG	4

Go To: [NCR Submission Home](#) | [Submit NCR\(s\)](#) | [Withdraw NCR\(s\)](#) | [Incomplete NCR\(s\) Submission](#) | [Apply Submitted NCR\(s\) to Other Formulary ID\(s\)](#) | [Reports](#) | [Documentation](#)

Please complete the following steps to proceed to the Negative Change Request Details page:

- Click the "Select All" check box to select all the drugs displayed for the formulary (or) if you want to choose only a subset of the displayed formulary drugs, you must click the check box corresponding to the specific drug(s).
- Select a type of change from the "TOC" drop down (displayed to the left of "Assign TOC to all" button) and click on the "Assign TOC to All" button to apply the selected type of change to all of the displayed formulary drugs; OR if you want to apply a different type of change to each selected drug, you must select a type of change from the drop down box in the table corresponding to each drug.
- Verify that all of the Affected Drugs of interest have a check in the checkbox and are associated to a Type of Change (TOC). Only drugs that have been selected as indicated with a check mark and that have been assigned a type of change will move forward in the process.
- Click the "Continue to NCR Details" button to view the "Negative Change Request Details" page for the selected records.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## 4 Negative Change Request Details

The Negative Change Request details page, allows you to enter the required information needed to process the request for the previously selected drugs and their associated TOCs. Required details that need to be entered will depend on the type of change (TOC) assigned to the drug. During this stage, you may elect to remove a selected negative change request, add negative change requests for more drugs, or cancel the entire negative change request submission.

\* The example shown corresponds to the Type of Change Brand Step, Add FRF Generic without Step. For details associated with all other TOCs, please see Appendix A.

### Type of Change – Brand Step, Add FRF Generic without Step

The system shall allow you to select Brand Step, Add FRF Generic without Step as a Maintenance Type of change (TOC) request.

**Exhibit 4-1 Type of Change – Brand Step, Add FRF Generic Without Step**

The screenshot displays the HPMS NCR Submission - NCR Details page. The browser title is "HPMS: NCR Submission - NCR Details - Microsoft Internet Explorer provided by CGI Federal". The page header includes the HPMS logo and "Health Plan Management System Home".

**NCR Details**  
 Change Request 1 of 1  
 Formulary ID: 00006666  
 Type of Change: Brand Step, Add FRF Generic without Step

**Affected Drug Details:**

Proxy NDC	Brand Name	Generic Name	Dosage Form	ROA	Strength	Tier
00026286251	PRECOSE	ACARBOSE	TABS	ORAL	100 MG	2

Below the table is a summary row:

PA Type	ST Type	ST Max Step	QL Y/N	QL Days	QL Amt
0	0	0	1	30	90

**Required Information**

1. Enter Offset Information (Offset NDC, Brand Name, and Tier) if applicable.
2. Click "Validate Offset Information" button if applicable.
3. Enter Offset Utilization Management Information, if applicable.
4. Enter a valid Effective Date.
5. Select an "Apply to New Starts Only" option, if applicable.
6. Enter Affected Drug New Tier and Utilization Management Information, if applicable.
7. Enter a Justification, if applicable.
8. Click the "Submit NCR" button.

**Offset Drug Details:**

Offset NDC	Brand Name	Generic Name	Dosage Form	ROA	Strength	Tier

Validate Offset Information

Summary row for offset drug details:

PA Type	ST Type	ST Max Step	QL Y/N	QL Days	QL Amt
		N/A		N/A	N/A

The above screen shot (Exhibit 4-1) displays how the Negative Change Request Details page will look initially when loaded.

**Required Information Section:**

The following fields displayed under the Required Information section are required data entry fields need to process the negative change request. \*\*Note some of these fields are specific to this TOC example for Brand Step, Add FRF Generic without Step.

Field	Definition
Offset NDC	A required Proxy NDC Code entry which is available in the existing Formulary Reference File. Once the Offset Proxy NDC Code is entered and validated, the associated Brand Name, Generic Name, Dosage Form, Route of Administration, and Strength will be populated. Note – You must enter an 11 digit numeric code with no spaces or special characters.
Offset Brand Name	Display only. Pre-populated based on the offset drug NDC.
Offset Generic Name	Display only. Pre-populated based on the offset drug NDC.
Offset Dosage Form	Display only. Pre-populated based on the offset drug NDC.
Offset Route of Administration	Display only. Pre-populated based on the offset drug NDC.
Offset Strength	Display only. Pre-populated based on the offset drug NDC.
Offset Tier	Drop down. Must be selected by the user and cannot exceed the highest tier level for the most recently approved formulary flat file. The value must be greater than zero.
Offset PA Type	Based on the Affected Drug PA Type and TOC, this field may be display only or may require an entry by the user.
Offset ST Type	Based on the Affected Drug ST Type and TOC, this field may be display only or may require an entry by the user.
Offset ST Max Step	Based on the Affected Drug ST Max Step value and TOC, this field may be display only or may require an entry by the user.
Offset QL Y/N	Based on the Affected Drug QL Y/N and TOC, this field may be display only or may require an entry by the user.
Offset QL Days Supply	Based on the Affected Drug QL Days Supply and TOC this field may be display only or may require an entry by the user.
Offset QL Amt	Based on the Affected Drug QL Amt and TOC this field may be display only or may require an entry by the user.
Effective Date	Must be at least 60 days from the submission date

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

Apply to New Starts Only	Drop down. A Yes or No option must be selected by the user
Affected Drug ST Type	Drop down. Must be selected by the user.
Affected Drug ST Max Step	Drop down. Must be selected by the user. This value represents the maximum step value for the affected drug across all protocols it may be included in.

### Exhibit 4-2 Type of Change – Brand Step, Add FRF Generic Without Step – Offset Identifier Information

The screenshot shows the 'Required Information' section of the HPMS NCR Submission - NCR Details application. It includes a list of instructions, a table for 'Offset Drug Details', and several input fields for validation and configuration.

**Required Information**

1. Enter Offset Information (Offset NDC, Brand Name, and Tier) if applicable.
2. Click "Validate Offset Information" button if applicable.
3. Enter Offset Utilization Management Information, if applicable.
4. Enter a valid Effective Date.
5. Select an "Apply to New Starts Only" option, if applicable.
6. Enter Affected Drug New Tier and Utilization Management Information, if applicable.
7. Enter a Justification, if applicable.
8. Click the "Submit NCR" button.

Offset Drug Details:

Offset NDC	Brand Name	Generic Name	Dosage Form	ROA	Strength	Tier
116252052501						1

Validate Offset Information

PA Type	ST Type	ST Max Step	QL Y/N	QL Days	QL Amt
		N/A		N/A	N/A

Effective Date (mm/dd/yyyy):

Apply to New Starts Only:

Affected Drug Tier:

Current	New
2	N/A

Affected Drug Current and New Type:

Current ST Type	New ST Type
0	

Current ST Max Step:  New ST Max Step:

Step 1 – Enter the Offset NDC and Offset Tier.

## Exhibit 4-3 Type of Change – Brand Step, Add FRF Generic Without Step – Offset Identifier Information Validation

HPMS: NCR Submission - NCR Details - Microsoft Internet Explorer provided by CGI Federal

Change Request 1 of 1  
 Formulary ID: 00006666  
 Type of Change: Brand Step, Add FRF Generic without Step

Affected Drug Details:

Proxy NDC	Brand Name	Generic Name	Dosage Form	ROA	Strength	Tier
00026286251	PRECOSE	ACARBOSE	TABS	ORAL	100 MG	2

PA Type	ST Type	ST Max Step	QL Y/N	QL Days	QL Amt
0	0	0	1	30	90

**Required Information**

1. Enter Offset Information (Offset NDC, Brand Name, and Tier) if applicable.
2. Click "Validate Offset Information" button if applicable.
3. Enter Offset Utilization Management Information, if applicable.
4. Enter a valid Effective Date.
5. Select an "Apply to New Starts Only" option, if applicable.
6. Enter Affected Drug New Tier and Utilization Management Information, if applicable.
7. Enter a Justification, if applicable.
8. Click the "Submit NCR" button.

Offset Drug Details:

Offset NDC	Brand Name	Generic Name	Dosage Form	ROA	Strength	Tier
16252052501	ACARBOSE	ACARBOSE	TABS	ORAL	100 MG	1

Validate Offset Information

PA Type	ST Type	ST Max Step	QL Y/N	QL Days	QL Amt
0	1	1	1	30	90

Effective Date (mm/dd/yyyy):  Apply to New Starts Only: (-Select a New Starts Only Option-)

Affected Drug Tier:

Current	New
2	N/A

Step 2 - Click on the “Validate Offset Information” button. The application will populate the corresponding offset drug details (Brand Name, Generic Name, Dosage Form, ROA and Strength).

Step 3- Where applicable you must enter the appropriate values for the Offset Drug’s Prior Authorization Type (PA Type), Step Therapy Type (ST Type), Step Therapy Max Step Value (ST Max Step), Quantity Limit Yes or No Indicator (QL Y/N), Quantity Limit Days Supply (QL Days), and Quantity Limit Amount (QL Amt). Please note that the Step Therapy Max Step Value is the maximum step therapy value for this offset drug across all of the step therapy protocols it may be included in.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## Exhibit 4-4 Type of Change – Brand Step, Add FRF Generic Without Step – Affected Drug and Other Required Information

HPMS: NCR Submission - NCR Details - Microsoft Internet Explorer provided by CGI Federal

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Local intranet

### Required Information

1. Enter Offset Information (Offset NDC, Brand Name, and Tier) if applicable.
2. Click "Validate Offset Information" button if applicable.
3. Enter Offset Utilization Management Information, if applicable.
4. Enter a valid Effective Date.
5. Select an "Apply to New Starts Only" option, if applicable.
6. Enter Affected Drug New Tier and Utilization Management Information, if applicable.
7. Enter a Justification, if applicable.
8. Click the "Submit NCR" button.

Offset Drug Details:

Offset NDC	Brand Name	Generic Name	Dosage Form	ROA	Strength	Tier
16252052501	ACARBOSE	ACARBOSE	TABS	ORAL	100 MG	1

Validate Offset Information

PA Type	ST Type	ST Max Step	QL Y/N	QL Days	QL Amt
0	1	1	1	30	90

Effective Date (mm/dd/yyyy):

Apply to New Starts Only:

Affected Drug Tier:

Current	New
2	N/A

Affected Drug Current and New Type:

Current ST Type	New ST Type
0	1

Current ST Max Step	New ST Max Step
0	2

Reset Submit NCR Remove NCR

Local intranet

Step 4 - You must enter a valid effective date, select yes/no for 'Apply to New Starts Only' and enter the new Affected Drug Step Therapy Type and Max Step value. Please note that the Affected Drug Step Therapy Max Step Value is the maximum step therapy value for this affected drug across all of the step therapy protocols it may be included in.

Step 5 – After entering all of the required information you may either reset all of the entered information, submit the NCR with the entered information or remove the NCR entirely.

1. **Reset button:** Click on the "Reset" button to reset all of the required information entered on the page.
2. **Submit NCR button:** Click on the "Submit NCR" button to submit your negative change request. The application will perform a series of validations based on the required information you have entered and prompt you for modifications if needed.
3. **Remove NCR button:** You may elect to remove the displayed affected drug NCR record. The system will display a pop-up message to confirm that you want to remove the NCR. From this pop-up message, please click on the "OK" button to remove the NCR or click on "Cancel" to go back to submit an NCR for the drug.

## Exhibit 4-5 Change Request Details page – After Completion of Required NCR Information

**HPMS** Health Plan Management System

**NCR Details**

Note: All NCR(s) are complete. To add additional drugs to the request, please click the "Select More Drugs" button.

Formulary ID:

**NCR Submission Details**

1. Click on the "Complete Submission" button to finalize all submitted NCR(s).
2. Click on the "Cancel Submission" button to cancel all submitted NCR(s).

**History:**  
The following are individually submitted NCR(s) waiting to be finalized.

Type of Change	Affected Drug Proxy NDC	Affected Drug Brand Name	Affected Drug Generic Name	Dosage Form	ROA	Strength	Tier
Brand Step, Add FRF Generic without Step	00026286251	PRECOSE	ACARBOSE	TABS	ORAL	100 MG	2

Go To: [NCR Submission Home](#) | [Submit NCR\(s\)](#) | [Withdraw NCR\(s\)](#) | [Incomplete NCR\(s\) Submission](#) | [Apply Submitted NCR\(s\) to Other Formulary ID\(s\)](#) | [Reports](#) | [Documentation](#)

Step 6 - Once the required information for each NCR has been entered and submitted the user will have the option of adding more drugs to this NCR session, completing the submission process for the already entered NCRs or canceling the entire group of NCRs for this session. The drugs and associated TOCs that have been submitted thus far will be displayed in the history table at the bottom of the page.

1. **Select More Drugs:** This option allows the user to navigate back to the “Negative Change Request Selection” page where the user can search for additional drugs to add to their overall negative change request submission for the same formulary ID. This button will only be available after the required information has been entered and submitted for the last negative change request in the group. If you want to add more drugs to your negative change request submission, please click on the “Select More Drugs” button. The application will navigate you to the “Negative Change Request Selection” page. You must search for the drugs you want to add and follow the steps mentioned in the previous sections of the document.
2. **Complete Submission:** This option allows the user to cancel all of the NCRs submitted in this session. To finalize all of the NCR(s) you submitted, please click on the “Complete Submission”

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

button. The application will navigate you to the “Negative Change Request Completion” page. See the History Table for the list of pending NCRs awaiting completion.

3. **Cancel Submission:** This option allows the user to cancel all of the NCRs submitted in this session. To cancel all of the NCR(s), please click on the “Cancel Submission” button. A pop-up message will verify if you want to cancel the negative change request(s). From this pop-up, please click on the “OK” button to cancel all the negative change requests submitted so far OR click on the “Cancel” button to return to the “Negative Formulary Change Request Submission Module” page. See the History Table for the list of pending NCRs that will be cancelled by this action.

### Exhibit 4-6 Negative Change Request – Completion page

**HPMS: NCR Submission - NCR Submission Completion**

Health Plan Management System

#### NCR Submission Completion

Note: After you complete this Submission, you may withdraw individual Change Requests through the Withdraw module. To view the Justification, click the Affected Drug Proxy NDC hyperlink.

Type of Change	Effective Date	Apply to New Starts Only	Affected Drug Proxy NDC	Affected Drug Details	Affected Drug Tier	Affected Drug Quantity Limit	Affected Drug Days Supply	Offset Drug NDC	Offset Drug Details	Offset Drug Tier
Brand Step, Add FRF Generic without Step	03/26/2009	Y	<a href="#">00026286251</a>	BN:PRECOSE GN:ACARBOSE DF:TABLETS ROA:ORAL STR:100 MG	Current:2 New:	Current:90 New:	Current:30 New:	16252052501	BN:ACARBOSE GN:ACARBOSE DF:TABLETS ROA:ORAL STR:100 MG	1

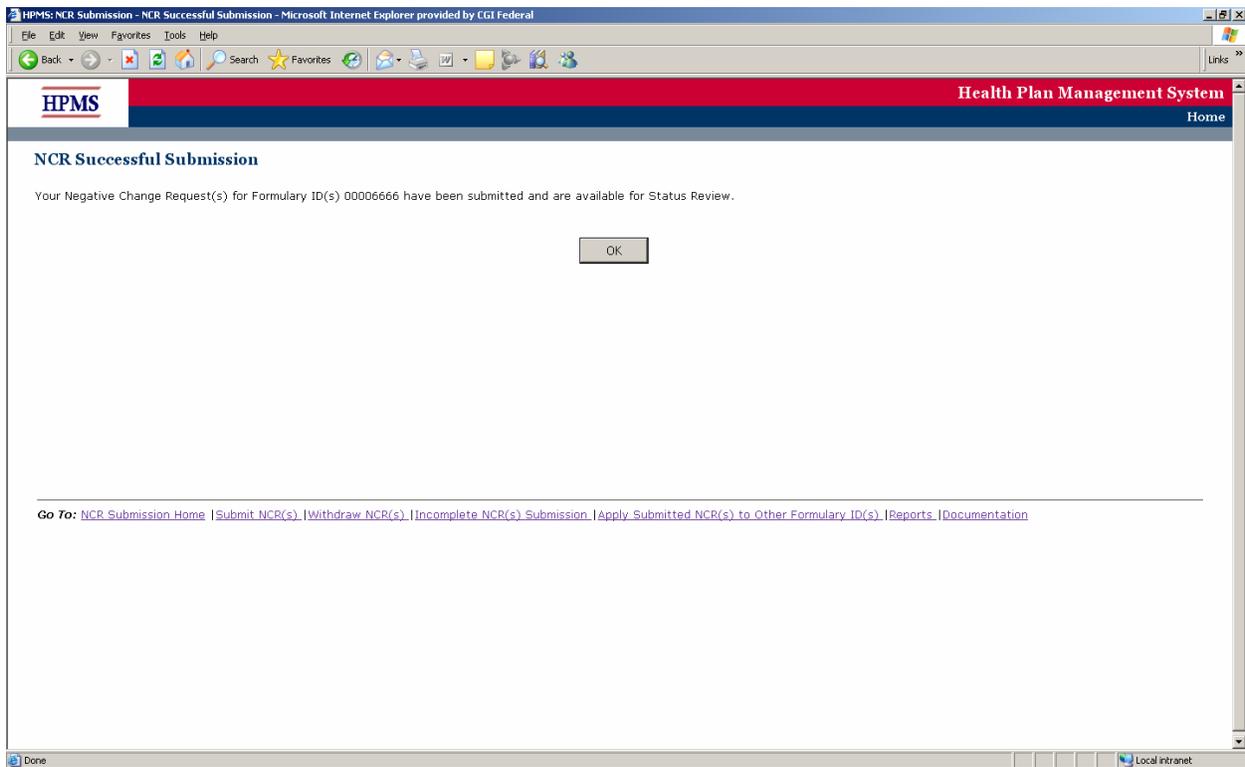
Complete Submission    Cancel Submission

Go To: [NCR Submission Home](#) | [Submit NCR\(s\)](#) | [Withdraw NCR\(s\)](#) | [Incomplete NCR\(s\) Submission](#) | [Apply Submitted NCR\(s\) to Other Formulary ID\(s\)](#) | [Reports](#) | [Documentation](#)

Drug Details Legend	
BN	Brand Name
GN	Generic Name
DF	Dosage Form
ROA	Route of Administration
STR	Strength

Step 7 – Click on the “Complete Submission” button to finalize your negative change request submission. The application will prompt you to verify if you want to proceed and navigate to the “Negative Change Request Submission Successful” page.

## Exhibit 4-7 Negative Change Request – Submission Successful page



Step 8 – Your change requests have now been submitted successfully. Click on “Ok” button after which a pop-up box will ask whether you want to apply the successfully submitted change request(s) to other formulary IDs. From this pop-up, click the “OK” button to proceed or click the “Cancel” button to return to the “Negative Change Request Submission Module” page.

Note: If you want to apply the negative change request(s) to other formularies, please refer to Section 6 of this document for the appropriate steps.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## 5 Withdraw Negative Change Request(s)

The Negative Formulary Change Request Submission system shall allow you to select negative change requests that you wish to withdraw from the review process. You will access the withdrawal page from the Negative Formulary Change Request Submission left navigation bar. A parameter page will be provided to allow you to retrieve a potential list of items based on Formulary ID(s), Type of Change (TOC) and/or Submission Date Range. Only line items in a review status of “Not Started” will be displayed as available for Withdrawal.

**Exhibit 5-1 Withdraw Negative Change Request(s) – Parameter Page**

HPMS: NCR Submission - Withdraw NCR(s) - Search Page - Microsoft Internet Explorer provided by CGI Federal

Address: http://hpmswebt/secure/FM2009/nrc\_withdraw\_param.asp?PI=150509020000&FromPg=navbar

**HPMS** Health Plan Management System Home

**Withdraw NCR(s) - Search Page**

- Search for the NCRs for withdrawal based on:
  - Formulary ID(s) and/or
  - Type of Change and/or
  - Submission Date Range
- Click Next

**Formulary ID(s):** 00006666  
00007777  
00008888

**Type of Change:** Select TOC  
Brand Deletion, Add FRF Generic  
Brand Tier Increase, Add FRF Generic  
Brand PA, Add FRF Generic without PA

**Submission Date (mm/dd/yyyy):**  
From:  To:

Reset Next

Top of Page  
Back

Done Local Intranet

The following fields will be displayed on this page:

Field	Definition
Formulary ID(s)	List box. Displays the Formulary ID(s) associated with the user. You may select one or many IDs; however, if none are selected, the system will display all IDs.
Type of Change	List box. Displays the full name of the type of change (TOC). You may select one or many TOCs; however, if none are selected, the system will display all TOCs.
Submission Date Range	Calendar feature box. The submission date range must be in the date format of mm/dd/yyyy. Both the "from" and "to" date are required. If a date is not entered, the system will display all submission dates.
Reset	Push button. This resets the page and clears any prior parameter selections/entries.
Next	Push button. This directs the user to the Withdraw Negative Change Requests page based on the parameters entered.

Please complete the following steps to view the search results:

1. Search for records based on a formulary ID, type of change and/or submission date range.
  - a. To search by formulary ID, select one or more formulary IDs from the ID window. Multiple formulary IDs may be selected by hitting the CTRL key and highlighting multiple formulary IDs from the window.
  - b. To search by type of change (TOC), select one or more TOCs from the TOC window. Multiple TOCs may be selected by hitting the CTRL key and highlighting multiple TOCs from the window.
  - c. To search by submission date range, enter a date in both the "From" and "To" fields using the following format: mm/dd/yyyy. You can also select a date by clicking on the calendar icon next to the text boxes.
2. Click the "Next" button to view search results.
3. OPTIONAL: Click the 'Reset' button to clear any prior parameter selections, as needed.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## Exhibit 5-2 Withdraw Negative Change Request(s) – Search Results Page

**Withdraw NCR(s)**

Total Number of Records = 1

Select All	Submission Date	Formulary ID - Version	Status	Submitted TOC	Apply to New Starts Only	Affected Drug Proxy NDC	Affected Drug Details	Affected Drug Tier	Affected Drug Quantity Limit	Affected Drug Days Supply	Effective Date	Offset Drug NDC	Offset New Drug Details	Offset Drug Tier
<input type="checkbox"/>	12/12/2008	00006666-v14	Not Started	Brand Step, Add FFF Generic without Step	Y	00026286251	BN:PRECOSE GN:ACARBOSE DF:TABLETS ROA:ORAL STR:100 MG	Current:2 New:	Current:90 New:	Current:30 New:	03/26/2009	16252052501	BN:ACARBOSE GN:ACARBOSE DF:TABLETS ROA:ORAL STR:100 MG	1

[Back](#)   [Withdraw](#)   [Export To Excel](#)

BN	Brand Name
GN	Generic Name
DF	Dosage Form
ROA	Route of Administration
STR	Strength

Go To: [NCR Submission Home](#) | [Submit NCR\(s\)](#) | [Withdraw NCR\(s\)](#) | [Incomplete NCR\(s\) Submission](#) | [Apply Submitted NCR\(s\) to Other Formulary ID\(s\)](#) | [Reports](#) | [Documentation](#)

The following fields will be displayed on this page:

Field	Definition
Select All	Check box. Allows the user to select all, one or multiple displayed negative change requests for withdrawal
Submission date	Display Only. The data for this field is pre-populated based on when the negative change request was entered in the system.
Formulary ID-Version	Display Only. The data for this field is pre-populated based on the formulary ID and version for which the specific negative change was requested.
Status	Display Only. The data for this field is pre-populated and indicates the review status of the negative change request.
Decision date	Display Only. The data for this field is pre-populated and indicates the date that a CMS decision status of approved or denied was entered.
Comment to Plan	Display Only. The data for this field is pre-populated and shows applicable CMS review comments.
Submitted Type of Change	Display Only. The data for this field is pre-populated based on the negative change request submitted

Apply to New Starts Only	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Affected Drug Proxy NDC	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Affected Drug Details	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Affected Drug Tier	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Affected Drug Quantity Limit Amount	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Affected Drug Quantity Limit Days Supply	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Effective Date	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Offset Drug NDC	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Offset New Drug Details	Display Only. The data for this field is pre-populated based on the negative change request submitted.
Offset Drug Tier	Display Only. The data for this field is pre-populated based on the negative change request submitted.

Please complete the following steps to withdraw negative change requests:

1. Select the negative change request(s) to withdraw. The user can click on the “Select All” check box to withdraw all of the NCRs (or) can select one or more NCRs to withdraw by clicking on the check box corresponding to each record.
2. The user can click the “Export to Excel” button to view all associated negative change request fields in MS® Excel.
3. Click the “Withdraw” button. This will change the status of the selected rows to Withdrawn.
4. OPTIONAL: The user can also click on the “Back” button to navigate to the previous page and search for other records.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## 6 Incomplete Negative Change Request Submission

The system shall allow you to access Negative Formulary Change Request Submissions which have not been completed or finalized. Your negative change request submission may be interrupted for a number of reasons (e.g. network outage or browser failure while in the process of completing a Negative Formulary Change Request). Upon entering the Incomplete NCR(s) Submission page from the Negative Formulary Change Request Submission left navigation bar, you will be able to complete any submitted NCR(s) which have been entered, but not yet finalized. Incomplete Negative Change Requests will only be available for completion on the same date as the interrupted submission. A history of each successfully submitted change request will be maintained.

Note – You will not be able to modify any previously submitted negative change requests, nor will you be able to append additional negative change requests to the existing negative change request submission.

## Exhibit 6-1 Incomplete Negative Change Request Submission – Completion Page

**HPMS** Health Plan Management System

**Incomplete NCR(s) Submission**

Note: After you complete this Submission, you may withdraw individual Change Requests through the Withdraw module. To view the Justification, click the Affected Drug Proxy NDC hyperlink.

Type of Change	Effective Date	Apply to New Starts Only	Affected Drug Proxy NDC	Affected Drug Details	Affected Drug Tier	Affected Drug Quantity Limit	Affected Drug Days Supply	Offset Drug NDC	Offset Drug Details	Offset Drug Tier
Brand Step, Add FFF Generic without Step	03/26/2009	Y	<a href="#">00026286251</a>	BN:PRECOSE GN:ACARBOSE DF:TABS ROA:ORAL STR:100 MG	Current:2 New:	Current:90 New:	Current:30 New:	16252052501	BN:ACARBOSE GN:ACARBOSE DF:TABS ROA:ORAL STR:100 MG	1

Complete Submission      Cancel Submission

Go To: [NCR Submission Home](#) | [Submit NCR\(s\)](#) | [Withdraw NCR\(s\)](#) | [Incomplete NCR\(s\) Submission](#) | [Apply Submitted NCR\(s\) to Other Formulary ID\(s\)](#) | [Reports](#) | [Documentation](#)

Drug Details Legend	
BN	Brand Name
GN	Generic Name
DF	Dosage Form
ROA	Route of Administration
STR	Strength

The following fields will be displayed on this page:

Field	Definition
Type of change	Display Only. The data for this field is pre-populated.
Effective Date	Display Only. The data for this field is pre-populated.
Apply to New Starts Only	Display Only. The data for this field is pre-populated.
Affected Drug Proxy NDC	Display Only. The data for this field is pre-populated.
Affected Drug Details	Display Only. The data for this field is pre-populated.
Affected Drug Tier	Display Only. The data for this field is pre-populated.
Affected Drug Quantity Limit Amount	Display Only. The data for this field is pre-populated.
Affected Drug Quantity Limit Days supply	Display Only. The data for this field is pre-populated.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

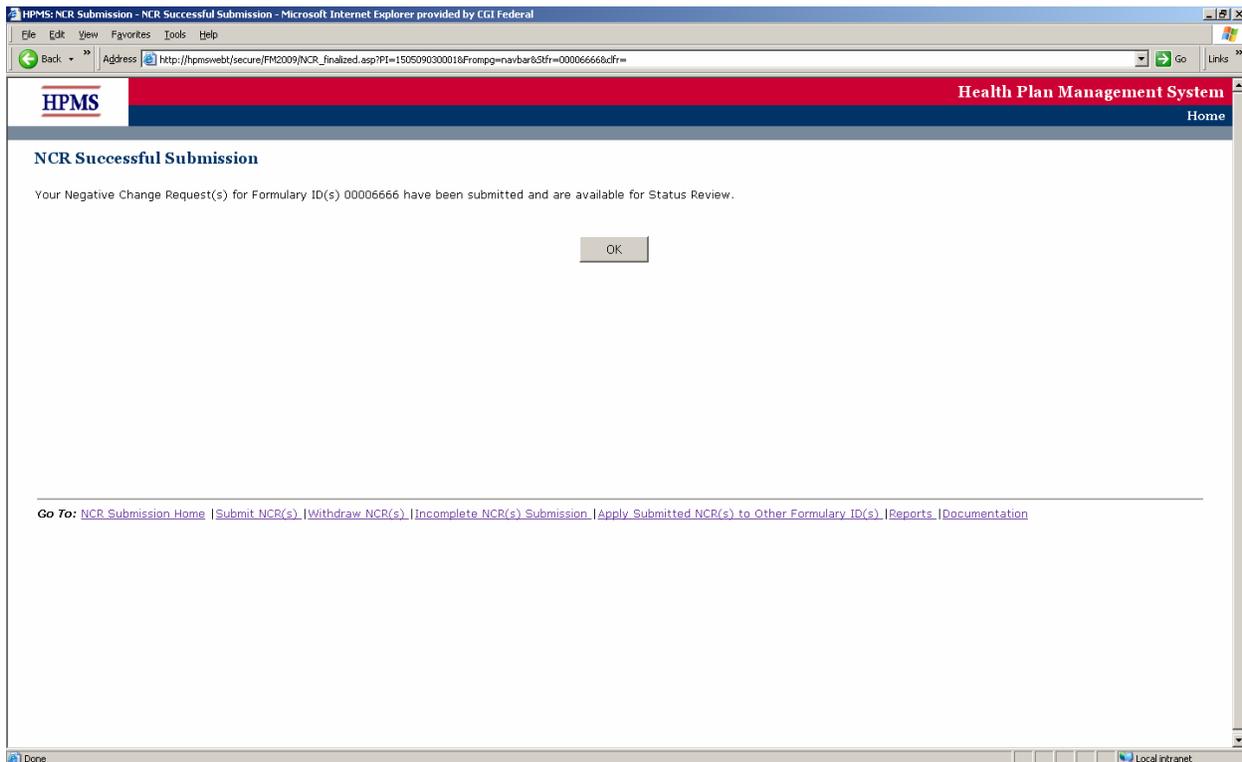
*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

Offset Drug NDC	Display Only. The data for this field is pre-populated.
Offset Drug details	Display Only. The data for this field is pre-populated.
Offset Drug Tier	Display Only. The data for this field is pre-populated.

Please complete one of the following steps to address the incomplete negative change request submission:

1. Click the “Complete Submission” button to finalize the submission of your negative change requests. A pop-up message will prompt you to verify that you want to submit your negative change request(s). The system will navigate you to the Negative Change Request Submission Successful page once the submission validations have been completed.
2. Click the “Cancel Submission” button to cancel your pending negative change request(s). A pop-up message will prompt you to verify that you want to cancel the pending negative change request. From the pop-up page click “OK” to cancel the submission. This will bring you back to “Negative Change Request Submission Module” Page.

### Exhibit 6-2 Negative Change Request – Submission Successful page



You must click on the “OK” button to finalize your negative change request submission. A pop-up box will appear to ask whether you want to apply the successfully submitted change request(s) to other formulary IDs. From this pop-up, click the “OK” button to proceed to the “Apply Submitted Negative Change Request(s) to Other Formulary ID(s)” page or click the “Cancel” button to return to the “Negative Change Request Submission Module” page.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## 7 Apply Submitted Negative Change Request(s) to Other Formulary ID(s)

This function allows you to search for successfully submitted negative change requests and apply them to other formularies. You may select this page at any time after the initial NCR submission. There will be a parameter page to allow you to narrow the search for Negative Change Requests to be applied to other formulary IDs. You may select one, many or all change requests from the display to apply to other formularies.

### Exhibit 7-1 Apply Previously Submitted Negative Change Request(s) to Other Formularies – Parameter Page

The screenshot shows a web browser window displaying the HPMS (Health Plan Management System) interface. The page title is "Apply Submitted NCR(s) to Other Formulary ID(s) – Search Page". The browser address bar shows the URL: [http://hpmswebt/secure/FM2009/nrc\\_applyNCRtoFRID\\_Param.asp?PI=150509060000&FromPg=navbar](http://hpmswebt/secure/FM2009/nrc_applyNCRtoFRID_Param.asp?PI=150509060000&FromPg=navbar). The page content includes a navigation menu on the left with options: Submit NCR(s), Withdraw NCR(s), Incomplete NCR(s) Submission, Apply Submitted NCR(s) to Other Formulary ID(s), Reports, Documentation, and Help. The main content area displays instructions: "1. Select the Formulary ID for which you have already submitted an NCR to be applied to additional Formulary ID(s). 2. Click Continue. 3. Select Submission Date. 4. Click Next." Below the instructions, there is a "Select a Formulary:" label, a dropdown menu containing the value "00006666", and a "Continue" button. The HPMS logo is visible in the top left, and "Health Plan Management System Home" is in the top right. The status bar at the bottom indicates "Local intranet".

Step 1 –Select ONE Formulary ID and click on the “Continue” button.

## Exhibit 7-2 Apply Previously Submitted Negative Change Request(s) to Other Formularies – Parameter Page (continued)

The screenshot shows a web browser window with the HPMS (Health Plan Management System) interface. The page title is "Apply Submitted NCR(s) to Other Formulary ID(s) – Search Page". The browser address bar shows the URL: http://hpmswebt/secure/FM2009/NCR\_ApplyNcrToFid\_param.asp?Submitted=True. The page content includes a list of instructions: 1. Select the Formulary ID for which you have already submitted an NCR to be applied to additional Formulary ID(s). 2. Click Continue. 3. Select Submission Date. 4. Click Next. Below the instructions, there are two dropdown menus: "Select a Formulary:" with the value "00006666" and "Select a Submission Date/Time:" with the value "12/9/2008 5:53:32 PM". A "Continue" button is located to the right of the first dropdown, and a "Next" button is located below the second dropdown. The left sidebar contains navigation links: "Submit NCR(s)", "Withdraw NCR(s)", "Incomplete NCR(s) Submission", "Apply Submitted NCR(s) to Other Formulary ID(s)", "Reports", "Documentation", and "Help". The top right corner of the page has the HPMS logo and the text "Health Plan Management System Home". The bottom of the browser window shows the status bar with "Done" and "Local intranet".

Step 2 – Select a submission date/time and click on the “Next” button

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## Exhibit 7-3 Apply Previously Submitted Negative Change Request(s) to Other Formularies – Search Results/Selection Page

**HPMS: NCR Submission - Apply Submitted NCR(s) to Other Formulary ID(s) - Microsoft Internet Explorer provided by CGI Federal**

**HPMS Health Plan Management System**

**Apply Submitted NCR(s) to Other Formulary ID(s)**

1. Select the Formulary ID(s) you wish to apply the NCR(s) to
2. Select the NCR(s) to be applied
3. Click Submit NCRs
4. Click the Export Errors to Excel button if an error log was generated

Apply NCR to Formulary ID:

Select Change Requests from Formulary ID 00006666 to be applied to other formularies.

Select All	Type of Change	Apply To New Starts Only	Affected Drug Proxy NDC	Affected Drug Details	Affected Drug Tier	Affected Drug Quantity Limit	Affected Drug Days Supply	Effective Date	Offset Drug NDC	Offset Drug Details	Offset Drug Tier
<input type="checkbox"/>	Brand Step, Add FRF Generic without Step	Y	00026286251	BN:PRECOSE GN:ACARBOSE DF:TABS ROA:ORAL STR:100 MG	Current:2 New:	Current:90 New:	Current:30 New:	03/26/2009	16252052501	BN:ACARBOSE GN:ACARBOSE DF:TABS ROA:ORAL STR:100 MG	1

Reset   Submit NCRs   Back To Home   Export Errors To Excel

BN	Brand Name
GN	Generic Name
DF	Dosage Form

Step 3 – Select the additional Formulary ID(s) and the previously submitted negative change request(s) that you would like to apply to these other ID(s).

The following fields will be displayed on this page:

Field	Definition
Apply NCR to Formulary ID	List box. Displays the formulary IDs available to which previously submitted NCRs may be applied. One or many formulary IDs may be selected.
Select All	Check box. Allows the user to select all, one or multiple negative change records to apply to the selected formulary IDs.
Type of Change	Display Only. The data for this field is pre-populated.
Affected Drug Proxy NDC	Display Only. The data for this field is pre-populated.
Affected Drug Details	Display Only. The data for this field is pre-populated.
Affected Drug Tier	Display Only. The data for this field is pre-populated.

Affected Drug Quantity Limit Amount	Display Only. The data for this field is pre-populated.
Affected Drug Quantity Limit Days Supply	Display Only. The data for this field is pre-populated.
Effective Date	Display Only. The data for this field is pre-populated.
Offset Drug NDC	Display Only. The data for this field is pre-populated.
Offset Drug Details	Display Only. The data for this field is pre-populated.
Offset Drug Tier	Display Only. The data for this field is pre-populated.

**Exhibit 7-4 Apply Submitted Negative Change Request(s) to Other Formularies – Search Results/Selection page (continued)**

**Apply Submitted NCR(s) to Other Formulary ID(s)**

- Select the Formulary ID(s) you wish to apply the NCR(s) to
- Select the NCR(s) to be applied
- Click Submit NCRs
- Click the Export Errors to Excel button if an error log was generated

Apply NCR to Formulary ID: 00006666  
 0000777  
 00008888

Select Change Requests from Formulary ID 00006666 to be applied to other formularies.

Select	Type of Change	Apply To New Starts Only	Affected Drug Proxy NDC	Affected Drug Details	Affected Drug Tier	Affected Drug Quantity Limit	Affected Drug Days Supply	Effective Date	Offset Drug NDC	Offset Drug Details	Offset Drug Tier
<input checked="" type="checkbox"/>	Brand Step, Add FFF Generic without Step	Y	00026286251	BN:PRECLOSE GN:ACARBOSE DF:TABS ROA:ORAL STR:100 MG	Current:2 New:	Current:90 New:	Current:30 New:	03/26/2009	16252052501	BN:ACARBOSE GN:ACARBOSE DF:TABS ROA:ORAL STR:100 MG	1

Reset   Submit NCRs   Back To Home   Export Errors To Excel

**Drug Details Legend**

BN	Brand Name
GN	Generic Name
DF	Dosage Form

Step 4 – Click on the “Submit NCR” button. If submission errors occur when trying to apply the NCRs to other formulary IDs the “Export Errors to Excel” button will be activated. The user can export the error log showing all of the failed. NCRs showing in this error log will not be applied to the intended formulary.

Step 5 (optional) – Click the “Reset” button to refresh the screen and reset all the entered/selected data.

Negative Formulary Change Request Submission Module User Manual Apply Submitted Negative Change Request(s) to Other Formulary ID(s)

Created: November 20, 2008

Revised: December 12, 2008/Version No. 01.00

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

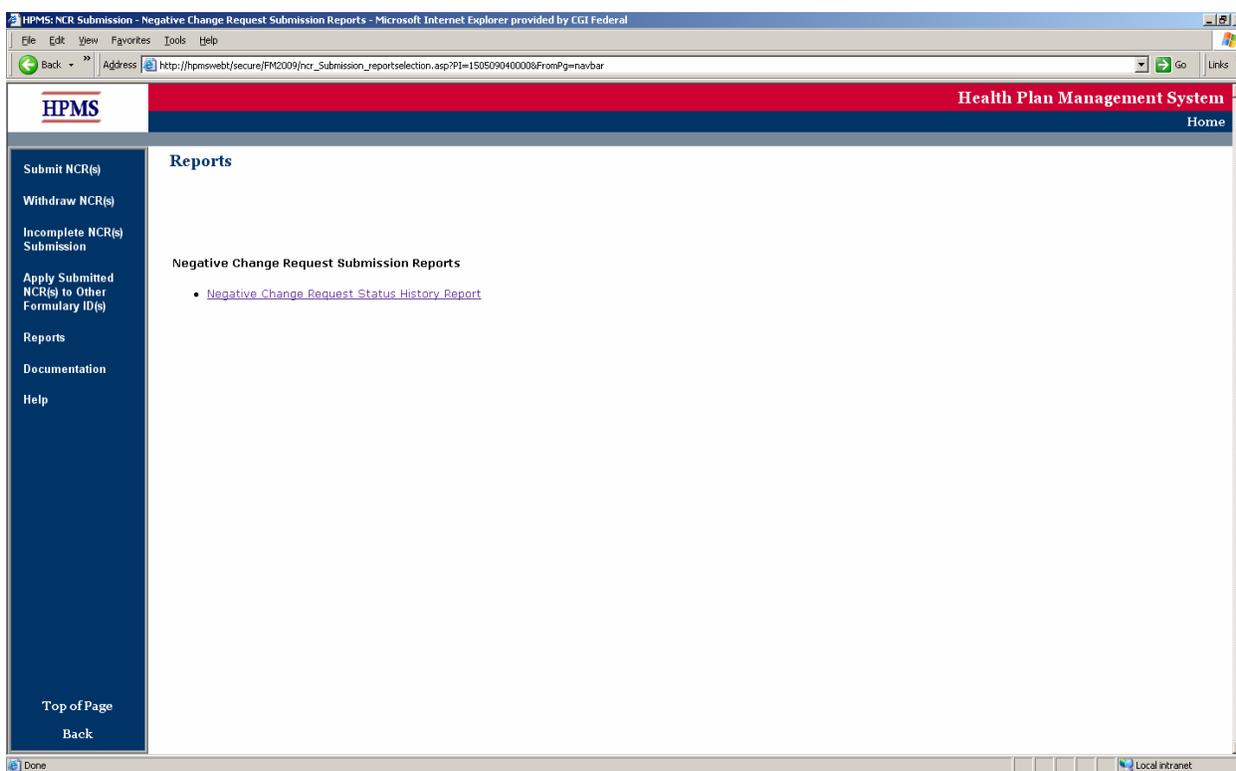
The error log will export to MS® excel and contain the following fields:

- 1. Date/Time stamp (within title)
- 2. Formulary ID (FID)
- 3. Type of Change (TOC)
- 4. Proxy NDC (Affected)
- 5. Brand Name (Affected)
- 6. Generic Name (Affected)
- 7. Dosage Form (Affected)
- 8. Route of Administration (Affected)
- 9. Strength (Affected)
- 10. Error Detail

## 8 Reports

The system shall allow you to view a Status History Report upon completion of each Negative Formulary Change Request Submission. The Status History Report will be available to you from the Reports link on the left navigation bar. The Status History Report will display the total number of Negative Formulary Change Requests as well as the total number of Withdrawals for a Formulary ID (cumulative totals).

**Exhibit 8-1 Reports Page**



**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## Exhibit 8-2 Status History Report – Parameter Page

The following fields are available on this page:

Field	Definition
Formulary ID	List box. Displays the Formulary IDs associated with the user. You may select one or many IDs; however, if none are selected, the system will display all IDs.
Type of Change	List box. Displays the full name of the type of change (TOC). You may select one or many TOCs; however, if none are selected, the system will display all TOCs.
Status	List box. Displays valid NCR statuses of Approved, Approved for New Starts Only, Denied, Withdrawn by Submitter, Withdrawn by Reviewer, In Progress, and Not Started.
Submission Date Range	Calendar feature box. The submission date range must be in the date format of mm/dd/yyyy. Both the “from” and “to” date are required. If a date is not entered, the system will display all submission dates.
Decision Date Range	Calendar feature box. The decision date range must be in the date format of mm/dd/yyyy. Both the “from” and “to” date are required. If a date is not entered, the system will display all submission dates.

Please complete the following steps to view the Status History search results:

1. You can search for records based on a formulary ID, type of change, status, submission date range and/or decision date range.
2. To search by Formulary ID, select one or more formulary IDs from the ID window. Selecting multiple formulary IDs is possible by hitting the CTRL key and highlighting multiple formulary IDs from the window.
3. To search by Status, select one or more Statuses from the status window. Selecting multiple statuses is possible by hitting the CTRL key and highlighting multiple statuses from the window.
4. To search by type of change (TOC), select one or more TOCs from the type of change window. Selecting multiple TOCs is possible by hitting the CTRL key and highlighting multiple TOCs from the window.
5. To search by a submission date range, enter a date in both the “From” and “To” fields using the following format: mm/dd/yyyy. You can also select a date by clicking on the calendar icon next to the text boxes.
6. To search by a decision date range, enter a date in both the “From” and “To” fields using the following format: mm/dd/yyyy. You can also select a date by clicking on the calendar icon next to the text boxes.
7. Click the “Next” button to view search results based on your selected/entered search criteria.
8. OPTIONAL: Click the “Reset” button to clear previous selections/entries.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

### Exhibit 8-3 Status History Report – Search Results Page

HPMS: NCR Submission - NCR Status History Report - Microsoft Internet Explorer provided by CGI Federal

HPMS Health Plan Management System Home

#### NCR Status History Report

Total Number of Records = 1

Submission Date	Formulary ID - Version	Status	Decision Date	Comment To Plan	Submitted Type Of Change	Apply to New Starts Only	Affected Drug Proxy NDC	Affected Drug Details	Effective Date
12/12/2008	00006666-v14	Not Started			Brand Step, Add FRF Generic without Step	y	00026286251	BN:PRECOSE GN:ACARBOSE DF:TABS ROA:ORAL STR:100 MG	03/26/2009

Back Export To Excel

Go To: [NCR Submission Home](#) | [Submit NCR\(s\)](#) | [Withdraw NCR\(s\)](#) | [Incomplete NCR\(s\) Submission](#) | [Apply Submitted NCR\(s\) to Other Formulary ID\(s\)](#) | [Reports](#) | [Documentation](#)

The following fields are displayed on this page:

Field	Definition
Submission Date	Display Only. The data for this field is pre-populated
Formulary ID - Version	Display Only. The data for this field is pre-populated.
Status	Display Only. The data for this field is pre-populated.
Decision Date	Display Only. The data for this field is pre-populated.
Comment to Plan	Display Only. The data for this field is pre-populated.
Submitted Type of Change	Display Only. The data for this field is pre-populated.
Apply to New Starts Only	Display Only. The data for this field is pre-populated.
Affected Drug Proxy NDC	Display Only. The data for this field is pre-populated.
Affected Drug Details	Display Only. The data for this field is pre-populated.
Effective Date	Display Only. The data for this field is pre-populated.

Other Features:

- “Back” button – The application will navigate you to the previous page.
- “Export to Excel” button - Displays all associated field details in MS® Excel.

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## Appendix A – Maintenance TOC(s)

Legend: N/A – Not Applicable, R – Required entry field

Type of Change	Affected Drug New Tier	Affected Drug New PA Type	Affected Drug New ST Type and Max Step	Offset Proxy NDC Code	Offset Newly Approved NDC	Offset Newly Approved Brand name	Offset Tier	Offset PA/ST/QL	Offset Drug Application Type	Offset Drug Application Number	Justification	Effective Date	Apply to New Starts only
Brand Deletion, Add FRF Generic	N/A	N/A	N/A	R	N/A	N/A	R	R	N/A	N/A	N/A	R	R
Brand Tier Increase, Add FRF Generic	R	N/A	N/A	R	N/A	N/A	R	R	N/A	N/A	N/A	R	R
Brand PA, Add FRF Generic w/o PA	N/A	R	N/A	R	N/A	N/A	R	R	N/A	N/A	N/A	R	R
Brand Step, Add FRF Step w/o Step	N/A	N/A	R	R	N/A	N/A	R	R	N/A	N/A	N/A	R	R
Brand Deletion, Add Newly Approved Generic	N/A	N/A	N/A	N/A	R	R	R	R	R	R	N/A	R	R
Brand Tier Increase, Add Newly Approved Generic	R	N/A	N/A	N/A	R	R	R	R	R	R	N/A	R	R
Brand PA, Add Newly Approved Generic w/o PA	N/A	R	N/A	N/A	R	R	R	R	R	R	N/A	R	R

Type of Change	Affected Drug New Tier	Affected Drug New PA Type	Affected Drug New ST Type and Max Step	Offset Proxy NDC Code	Offset Newly Approved NDC	Offset Newly Approved Brand name	Offset Tier	Offset PA/ST/QL	Offset Drug Application Type	Offset Drug Application Number	Justification	Effective Date	Apply to New Starts only
Brand Step, Add Newly Approved Generic w/o Step	N/A	N/A	R	N/A	R	R	R	R	R	R	N/A	R	R
Removal due to FDA Mandated Market Withdrawal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	N/A
Removal of drug due to new warning (Black box/FDA)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
Tier Increase due to new warning (Black box/FDA)	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
PA Add due to new warning (Black box/FDA)	N/A	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

Type of Change	Affected Drug New Tier	Affected Drug New PA Type	Affected Drug New ST Type and Max Step	Offset Proxy NDC Code	Offset Newly Approved NDC	Offset Newly Approved Brand name	Offset Tier	Offset PA/ST/QL	Offset Drug Application Type	Offset Drug Application Number	Justification	Effective Date	Apply to New Starts only
ST Add due to new warning (Black box/FDA)	N/A	N/A	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
Removal of drug due to new clinical guidelines	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
Tier Increase due to new clinical guidelines	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
PA Add due to new clinical guidelines	N/A	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
Step Add due to new clinical guidelines	N/A	N/A	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
Removal due to U.S Market Availability (Non Safety related)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R
Part B versus D PA	N/A	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	R

## Appendix B – Non Maintenance TOC(s)

Legend: N/A – Not Applicable, R – Required entry field

Type of Change	Affected Drug New Tier	Affected Drug New PA Type	Affected Drug New ST Type and Max Step	Affected Drug New QL Y/N	Affected Drug New QL Amt and Days	Offset Proxy NDC Code	Offset Tier	Offset PA/ST/ QL	Justification	Effective Date	Apply to New Starts only
Formulary Deletion with Offset	N/A	N/A	N/A	N/A	N/A	R	R	R	R	R	N/A
Formulary Deletion w/o offset	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	N/A
Tier increase with offset	R	N/A	N/A	N/A	N/A	R	R	R	R	R	N/A
Tier increase w/o offset	R	N/A	N/A	N/A	N/A	N/A	N/A	N/A	R	R	N/A
PA Add with offset	N/A	R	N/A	N/A	N/A	R	R	R	R	R	N/A
PA Add w/o offset	N/A	R	N/A	N/A	N/A	N/A	N/A	N/A	R	R	N/A

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

Type of Change	Affected Drug New Tier	Affected Drug New PA Type	Affected Drug New ST Type and Max Step	Affected Drug New QL Y/N	Affected Drug New QL Amt and Days	Offset Proxy NDC Code	Offset Tier	Offset PA/QL/ST	Justification	Effective Date	Apply to New Starts only
Step Add with offset	N/A	N/A	R	N/A	N/A	R	R	R	R	R	N/A
Step Add without offset	N/A	N/A	R	N/A	N/A	N/A	N/A	N/A	R	R	N/A
QL Add with offset	N/A	N/A	N/A	R	R	R	R	R	R	R	N/A
QL Add w/o offset	N/A	N/A	N/A	R	R	N/A	N/A	N/A	R	R	N/A
QL Decrease with offset	N/A	N/A	N/A	N/A	R	R	R	R	R	R	N/A
QL Decrease w/o offset	N/A	N/A	N/A	N/A	R	N/A	N/A	N/A	R	R	N/A

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*

## Appendix C – Go To Links

The following links may be available in the application. The table below shows which page the links will navigate you to, within the application:

LINKS	PAGE
NCR Submission Home	Negative Formulary Change Request Submission Module Page
Submit NCR(s)	Negative Change Request – Affected Drug Search Page
Withdraw NCR(s)	Withdraw Negative Change Requests – Parameter Page
Incomplete NCR(s) Submission	Negative Change Request Completion Page
Apply Submitted NCR(s) to Other Formulary ID(s)	Apply Submitted Negative Change Request(s) to Other Formularies
Reports	Reports
Documentation	Documentation

**INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:**

*This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.*